

PART 301-1--APPLICABILITY AND GENERAL PULSe

Subpart A - Authority, Applicability, and General Rules 301-1.1 Authority.

The Commerce Travel Regulations (CTRs) are issued in accordance with the General Services Administration's Travel Regulations and under the authority of Department Administrative Order (DAO) 204-1.

301-1.2 Applicability.

(a) Travel of Department employees is subject to these regulations unless the traveler is on loan or detail to another department, in which case the paying agency's regulations will govern.

(b) Travel by National Oceanic and Atmospheric Administration (NOAA) Commissioned Officers will be in accordance with the Joint Travel Regulations (JTR).

(c) Travel by employees designated as Foreign Service Officers will be in accordance with Volume 6 of the State Department's Foreign Affairs Manual (FAM).

301-1.3 General rules.

(a) Traveler's obligation. Travelers must be fully informed by bureau officials of their responsibility while in an official travel status. It is the traveler's responsibility to know the regulations governing travel and any related requirements, to prepare accurate and factual vouchers for reimbursement of the travel expenses, and to report promptly to the timekeeper all leave taken while An a travel status. Organizations will ensure that travelers submit their travel vouchers and travel advance requests in accordance with the *NOAA* Administrative Payments Manual (APM).

(c) Definitions.

(1) Agency/bureau. The word "agency" as used in 41 CFR, Federal Travel Regulations (FTR), refers to the Department of Commerce. "Bureau" as used in these supplements, means an organizational entity within DOC (e.g., the National Oceanic and Atmospheric Administration (NOAA), Bureau of Census (Census), etc.).

(3) Official duty station. (See CTR 301-7.6 for purposes of local mileage and paying per diem.)

Subpart B - official Government Business Travel

301-1.101 Authorization of travel.

(b) Agency responsibilities. Authorizations to travel shall conform to the provisions of the Federal Travel Regulations and this Handbook. Official travel by commissioned personnel of NOAA shall be authorized under the provisions of the JTRs and regulations prescribed thereunder by the Administrator of NOAA. Official travel by Foreign Service employees shall be authorized under the provisions of Title I, Chapter 9 of the Foreign Service Act of 1980, as amended, and the implementing Foreign Service Travel Regulations contained in Volume 6 of the Foreign Affairs (6 FAM). *All travelers, including non-Government persons (invitational travelers) whose travel expenses are being paid for by the Department, shall be issued written travel orders prior to the beginning of the travel and the incurrence of any expenses. Where it is not possible to issue written travel orders prior to travel, the procedures contained in CTR 301-1.102(h) should be followed for the issuance of emergency travel orders.*

(1) Delegation of authority. This section sets forth the responsibilities and authority vested in the *Chief Financial Officer and* Assistant Secretary for Administration by Department Organization Order (DOO) 10-5. Subject to the conditions and limitations specified therein, there is hereby delegated to Secretarial Officers, Heads of Departmental Offices, and Heads of Operating Units reporting directly to the Secretary (as defined An DOO 1-1):

(i) Authority to authorize single-trip travel orders for themselves, for personnel under their supervision, and for other individuals traveling on behalf of the Department. (See CTR 305-1.4, Special Travel Authorizations, and 306-1.2(a) for authorization for foreign travel); and

(ii) Authority to authorize limited open travel orders for personnel under their supervision.

The authority to authorize limited open travel orders for Secretarial Officers, Heads of Departmental Offices, and Heads of Operating Units reporting directly to the Secretary is retained by the *Chief Financial Officer and* Assistant Secretary for Administration. (See CTR 301-1.102(a), Types and Use of Travel Authorizations.)

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Requests for premium-class air accommodations require the approval of the *Chief Financial Officer and* Assistant Secretary for Administration.

(2) Redelegation of authority to authorize travel. Each DOC bureau is responsible for designating, by organizational title, the officials who may authorize official travel. The designations must be in written form and at a sufficiently high level to ensure proper review and control. (See Section 3b of DAO 204-1 for requirements when redelegating the authority granted above. Also, see CTR 306-1, Authorization of Foreign Travel.) The authorizing officer must personally sign the travel order in Block 16.

(3) Responsibilities of requesting/approving officials. The requesting/approving official shall have authority to request or approve travel subject to limitations established by each bureau head. The official occupying the position to which the responsibility has been delegated must personally sign the travel order in Block 15. It is the requesting/approving official's responsibility to:

(i) Determine whether the travel is required and is in the interest of the Government, and complies with the overall travel plans of the organizational unit;

(ii) Approve itineraries which will most effectively serve program needs at the least cost;

(iii) Provide for the use of the most economical modes of transportation, which are consistent with services generally meeting acceptable standards and the objective of the mission;

(iv) Provide for an appropriate subsistence rate under unusual circumstances;

(v) Schedule employees' travel within their regular workweek, to the maximum extent practicable (5 USC 5542 and 5 USC 6107(b) (2));

(vi) Consider having available field personnel accomplish the proposed mission at reduced expense to the organizational unit (if applicable);

(vii) Ensure that the travel order is properly prepared and includes, where necessary:

(A) a valid justification when a contract carrier is not used;

(B) an acknowledgement statement where special discount fares will be used and a cancellation/change fee will apply;

(C) an attached valid justification for the use of a foreign flag air carrier;

(D) the dates and location of authorized personal leave points; and

(E) the location of an authorized rest stop which is in accordance with usually traveled routes, the guidelines of the Fly America Act, and bureau policy;

(viii) Ensure that the travel advance is properly authorized and the amount is appropriate. (See CTR 301-10.3, Advance of Funds.)

(ix) Ensure the preparation of a CD-334, "Request for Approval of Extra Fare Air Accommodations," for the signature of the *Chief Financial Officer and* Assistant Secretary for Administration if premium-class air accommodations are required.

(4) Controls. Each bureau head is expected to maintain effective control over all travel and travel expenditures. (See CTR 305-1--Authorization Principles.)

301-1.102 Guidelines for issuing travel authorizations.

(a) Types and use of travel authorizations. *Each employee shall be issued one of the three types of travel orders as described below prior to the beginning of the travel:*

(1) Unlimited open travel orders. This authorization allows unlimited travel to any domestic geographic area over the period of a fiscal year. Its use is reserved for the Secretary and Deputy Secretary. No one below these levels is delegated authority to use or allow unlimited open travel orders.

(2) Limited open travel orders. This authorization covers travel for individuals whose official duties require them to travel frequently, generally in a circuit type of route. This authorization will usually be restricted to a specified geographic area but may in limited instances encompass travel to any point in the United States for a stated period of time. However, all travel must be approved orally by the traveler's supervisor. All such authorizations must be reviewed at least quarterly with appropriate documentation residing in the bureau's files, i.e., the name of the reviewing individual and a notation that these

travel orders were extended through the next quarter. These authorizations must be reissued at least annually. Each bureau must list as a supplement to this manual, the criteria used for this type of authorization as well as the individual(s) responsible for quarterly reviews. Also see CTR 305-1.2. The individual(s) may be stated in terms of position titles or classes of employee.

(3) Trip-by-trip travel orders. This authorization covers travel to specific cities, towns, or geographical points and return to the traveler's official duty station and will be limited to the approximate time required for the travel. Employee relocations are also authorized by the use of this travel order.

(b) Levels of approval and requirements for special purpose travel.

(1) Conferences, meetings, and training sessions. Individuals attending meetings, conferences, symposiums, or conventions of international bodies, professional or trade associations, etc., will be limited to those whose presence is clearly desirable and Justified as having substantial bearing upon the responsibilities of the concerned organizational element of the Department. A separate travel order will be issued for travel to each meeting, conference, convention, etc. The leave and duty status of the employee shall be clearly stated on the travel order unless the employee is traveling at his/her own expense and on annual leave or leave without pay. Whenever a meeting or conference is arranged which will involve the travel of attendees from other agencies or other organizational units of the Department, the organizational unit(s) sponsoring the meetings or conventions will recommend to the other participating agencies or organizational units a per diem allowance that would be reasonable in view of the circumstances of the particular meeting or conference. (See Exhibit 301-13%. Also see CTR 305-1.4(c) and 305-4.)

(2) Foreign travel. (See CTR Chapter 306.)

(3) Change of official station/relocation. (See FTR Chapter 302.)

(4) Acceptance of travel expenses from Outside sources.

(i) Gifts and bequests may be accepted to pay, or reimburse, in whole or in part, the travel expenses of Department employees for approved official travel. Department policies and procedures governing the acceptance of gifts and bequests are

in DAO 203-9, and in DAO 202-739 for-gifts and incorporated bequests from foreign governments. (ii) Gifts and bequests to cover all or part of an employee's travel expenses must be made to the Department by check either in advance or on a reimbursable basis, and not directly to the employee involved, with the organizational unit making arrangements for transportation and subsistence. (See FTR Chapter 304, Reductions in Meeting and Training Allowance Payments.) However, services in-kind may be accepted for all or part of such travel if otherwise appropriate. In all instances, including where services in-kind (transportation tickets, hotel, accommodations, meals, etc.) are furnished in connection with official travel, these procedures will be followed:

(A) Form CD-210, Record of Gift or Bequest, will be prepared in advance whenever possible, and approved in accordance with DAO 203-9, as amended. Form CD-342, Record of Gifts and Declarations from Foreign Governments, will be used when receiving gifts from a foreign government under DAO 202-739;

(B) Services in-kind will be specifically authorized in travel orders or administratively approved on the travel voucher. In all cases, the traveler will report the details of the receipt of services in-kind on Form CD-210 or CD-342, a copy of which must accompany the travel voucher;

(C) Disbursements from Department appropriations or gift and bequest funds for travel expenses (including subsistence) of travelers will comply with the current requirements of 5 USC 5701-5709, the Federal Travel Regulations and this Handbook unless specifically exempted by the *Chief Financial Officer and* Assistant Secretary for Administration under authorization of law;

(D) Accounting records and reports will be prepared by the recipient organization's accounting office; and,

(E) The officials authorized to accept gifts and bequests shall in each instance appropriately acknowledge in writing to the donor the acceptance of the gift and bequest.

(iii) Under no circumstances will a traveler accept cash for official travel expenses. Checks made payable to a traveler will be immediately endorsed over to the Department in the presence of the donor when received in person. Normally, expenses incurred or accepted in-kind should not exceed what would be allowable under this Handbook. (See CTR 301-10.5(b).)

(5) Honoraria. The acceptance of honoraria by employees in connection with their official duty or position is prohibited. Employees who lecture while on annual leave (not under official orders) may accept reimbursement of expenses from non-Federal sources.

(6) Local travel. Mileage claims for local travel (within a 50-mile radius of the official duty station) should be submitted on SF-1164 to an imprest fund cashier. Such travel should be performed wholly within one day and should not involve an overnight stopover or a per diem claim. (See Exhibit CTR 301-1F.) Bureaus may publish more restrictive requirements based on official duty station geographical boundaries. (See CTR 301-4.7 and 301-11.4 for reimbursement of local travel.)

(7) Group travel. *Requests for approval of groups of employees from the same bureau/operating unit, including non-Government persons (invitational travelers) whose travel expenses are being paid for by the Department, traveling to the same location or event must be submitted to Secretarial Officers/Head of Operating Units for approval as follows:

- (i) Groups of fifteen or more for travel within the continental United States, and
- (ii) Groups of eight or more for travel outside the continental United States.*

The authority to approve these requests may be redelegated. The redelegation shall be held to as high an administrative level as practicable to ensure proper review and control of these requests. Any redelegations of authority shall be in writing. The following minimum standards shall be followed when approving group travel:

(i) Ensure that only travel that is essential to the purposes of the Department and for accomplishment of the bureau's mission is approved.

(ii) Ensure that bureau/operating unit attendance is limited to the minimum necessary to accomplish the mission.

(iii) Consider all expenses in selecting attendees and conference or meeting locations. Such expenses include travel to and from the site; ground transportation; lodging, meals and incidental costs; registration fees; meeting room rentals; and other related costs including employees' time away from the official duty station.

(iv) Explore alternatives to holding conferences or meetings away from the official duty station such as conference calls or having available field personnel accomplish the proposed mission.

Bureaus/operating units shall also maintain sufficient documentation, signed by an appropriate official, to demonstrate that they have complied with the above minimum standards in selecting locations or attendees.

(8) Travel expenses to attend award ceremonies. Travel and per diem expenses may be provided to a Departmental award recipient to attend a major award ceremony (e.g., Presidential award ceremony, the Department's annual award ceremony, or a prestigious honorary award ceremony sponsored by a non-Federal organization). The travel must be directly to and from the site of the ceremony and is to be performed in accordance with the policies contained in the Federal Travel Regulations and this Handbook. In addition, bureaus may provide reimbursement of travel and per diem expenses for one individual of the award recipient's choosing. This person can be a family member or another person whose close association with the employee is the equivalent of a family relationship. At bureau discretion, travel reimbursement for more than one individual may be considered in instances in which the award winner requires assistance because of a handicapped condition. One travel order shall be issued that covers both the employee and the additional person. The employee will be responsible for submitting a travel voucher to obtain reimbursement for the travel costs of himself/herself and the additional person.

(e) Preparation of Form CD-29, Travel Order. Exhibits 301-1A through 301-1E at the end of this Part detail the data to be included in the travel order. The travel order, must indicate the bureau code, travel type code, travel purpose code, and the accounting classification code. The travel order shall specifically indicate only the authorized expenses to be incurred and the allowable modes of transportation to be used. Prepare the travel order in advance to allow sufficient time for its clearance and return to the traveler prior to the beginning of travel. (See CTR 301-1.102(h) for emergency travel.)

(1) Annual leave in connection with official travel. When a traveler requests annual leave during a period of official travel, the travel order should include the places and dates of planned leave in Block 14. Should leave be taken without authorization on the travel order, the travel voucher, prior to payment, will have to be approved by the official who signed the travel order. (See FTR *301-11.21, and 301-71.107*.)

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(2) Travel spanning two fiscal years. One order should be prepared, but charges to each of the two years should be clearly shown on the CD-29 in Block 9 or 14, as appropriate. (See Exhibit 301-1B.)

(3) Travel for an ensuing fiscal year. Unless statutory authorizations allow otherwise, travel orders prepared for travel beginning after the current fiscal year should be annotated with the following statement: "Approval of travel scheduled to be accomplished on or after October 1, 19XX, is contingent upon the availability of fiscal year (19XX+1) funds."

(f) Routing, distribution, and cancellation of Form CD-29, Travel Order.

(1) Only those officials to whom the Chief Financial Officer and Assistant Secretary for Administration has delegated the authority to authorize travel may sign as the authorizing officer. This delegation may be redelegated in accordance with CTR 301-1.101(b) (2), Redelegation of Authority to Authorize Travel.

(2) After preparation and signature by the requesting/ approving officer, the travel order will be forwarded to the designated authorizing officer of the organizational unit. The designated authorizing officer, before signing, will ensure that the travel and transportation approved on the travel order has been reviewed and determined to be in the best interest and advantage to the Government, and is essential to accomplish the bureau's program and mission. After the recording of a travel order number on Form CD-29, the copies will be distributed as each bureau outlines in their Exhibit CTR 301-1G in this Handbook.

(3) In the event authorized travel is not to be performed, the requesting/approving officer will secure the original copy of Form CD-29 from the traveler, mark it void on the face of the form, and return it via covering memorandum to the accounting office for cancellation of funds obligated or administratively reserved.

(g) Amendments to travel orders.

(1) Amendments to travel orders should not be issued to cover changes which will not materially affect the amount of anticipated expenses; nor should amendments be issued after performance of travel. After travel, the travel voucher should include the statement "Reimbursement of the expenses as stated on the voucher is necessary and post approved" and the authorizing officer's signature in the remarks section of the voucher.

(2) When it is necessary to postpone official travel, new orders or amendments will not be required unless the delay in the official travel exceeds 30 days. Travel vouchers covering delayed trips should include a brief explanation of any delays in excess of one week.

(3) Where amendments are necessary they should be prepared on an amended travel order, as follows. (See Exhibit 301-1C):

(i) Repeat entries in Blocks 1 through 4C from original travel order. In Block 2, repeat original travel order number and enter Amendment No. 1, 2, etc., as applicable, in the same block.

(ii) Thereafter, in Blocks 5 through 14 enter only information which has changed. In Block 11, enter only the dollar amount of the increase or decrease (not an adjusted total) and the affected accounting data should be indicated in Block 9.

(iii) The signature in Blocks 15 and 16 and the date of the amendment will still be required.

(h) Emergency travel. In case of emergency travel without prior written approval, the employee will obtain a travel order number from the authorizing office, as well as the fund(s) to be charged. The requesting office shall prepare a "Confirmatory Travel Order" as soon as possible thereafter, using the travel order number assigned in advance for the trip and approved by the authorizing official. A statement of justification shall be entered in Block 14 of the travel order.

Example: "Confirmatory Travel Order. Emergency travel authorized per telecon on (date) by Mr. John E. West, Director, EDL."

301-1.103 Instructions/guidelines for travelers.

(a) Traveler's potential liability notice. Travelers will be liable to the Department for negotiable transportation tickets issued to them until a proper accounting is made. (See CTR 301-3.5(d).)

(b) Promotional materials received in connection with official travel from common carriers, rental car companies, or other commercial source. Bureaus will establish central contact points to control and maximize the use of frequent flyer bonus awards. Other free gifts, awards, stamps, merchandise, etc. which cannot be used to reduce future travel costs, shall be turned over to appropriate personnel as described by bureau supplementation to this paragraph. Designated bureau officials will dispose of

material in accordance with 41 CFR 101-25.103. (Office of the Secretary personnel should turn in material to the *Office of Executive Assistance Management, Office of Executive Budgeting and Assistance Management.*) When a frequent flyer bonus award is used by the traveler, the travel order must indicate that approval was granted as being advantageous to the Government.

(c) Denied boarding compensation. (See CTR 301-3.5(b).)

(d) Billing information for ticket exchanges. (See CTR 301-3.5(a).) In addition, each bureau will insert on the travel order, or equivalent form, the address of the payment center where a common carrier is to send refunds for exchanged tickets.

(e) Use of travel agencies. Travel agents shall not be used by travelers except under the following conditions:

(1) The travel agent is under contractual agreement with the Government and a) the traveler uses an individual GTR or contractor-issued charge card, or b) billing arrangements under a blanket GTR have been made with the travel agent and the servicing payment center for that bureau's office; or

(2) An administrative determination has been made by an authorized official that the reduced group or charter fare available from a travel agent will result in a monetary savings to the Government and not interfere with the conduct of official business. (See FTR *301-10.111*.)

301-1.104 Travel of private persons.

(a) Experts or consultants serving on a daily basis, when-actually-employed basis, or without pay or at \$1 per year may be allowed travel or transportation expenses (5 U.S.C. 5703) as follows:

(1) Experts/consultants employed on a temporary basis and assigned an official duty station will receive travel and transportation benefits only when on official travel away from the official duty station.

(2) Experts/consultants intermittently employed, or other invitational travelers, may be paid travel and transportation expenses (pursuant to 5 U.S.C. 5703) while:

(i) On official business away from his/her home or regular place of business, or

(ii)-At the place of employment or service. This includes expenses for commuting from his/her residence to the place of employment if the intermittent employment causes additional transportation expenses that would not otherwise have been incurred.

(b) Travel of persons other than Federal employees may be approved only by officials designated by bureau heads. They must be conferring on official business or performing a direct service to the Government.

(c) When travel for any non-Federal employee is authorized, a note will be entered in Block 1 of the travel order indicating that it is an "Invitational Travel Order." (See Exhibit 301-1D.)

(d) Authorizing officials, upon signing an invitational travel order, should confirm that steps are being taken to prevent the invitational traveler's unauthorized purchase of transportation with personal funds.

(e) Travel advances may be issued to non-Federal employees, and may be authorized by the designated officials. Travel advances should be approved only when necessary. The official authorizing the advance must ensure that the amount advanced is reasonable under the circumstances and that a travel voucher and/or check is submitted to clear the advance from DOC records immediately after the authorized travel.

Subpart C - Pre-employment Interview Travel

301-1.201 Authorization of travel.

(b) Eligibility determination. Bureau officials should contact their servicing personnel office for a determination of which applicants qualify for the payment of pre-employment interview travel and transportation expenses. Payment of expenses for pre-employment interviews shall be in accordance with *Part 301-75' of the Federal Travel Regulations.

EXHIBIT 301-1M
DOC BUREAU CODES

Code 1/

Bureau Name

01	Office of the Secretary
02	Minority Business Development Agency
04	Bureau of the Census
05	National Telecommunications and Information Administration
06	National Institute of Standards and Technology
07	United States Travel and Tourism Administration
08	National Technical Information Service
10	Patent and Trademark Office
12	International Trade Administration
14	National Oceanic and Atmospheric Administration
15	Economic Affairs
20	Economic Development Administration
21	Appalachian Regional Commission
33	Technology Administration
64	Office of the Inspector General
67	Bureau of Export Administration

TYPE OF TRAVEL CODES

Type Travel Code 2/

- 1 Domestic--Travel within the limits of the conterminous United States (the 48 States plus the District of Columbia).
- 2 Foreign--Travel outside the 50 States or territories and possessions of the U.S. and travel within the U.S. directly connected with such travel, except local travel of employees stationed abroad.
- 3 Transfer/Househunt--Travel authorized for purpose of seeking permanent resident quarters in conjunction with transfer of station.
- 4 Transfer/Other--Travel authorized for purpose of relocation to a new official duty station.
- 6 Other--Travel beyond the limits of the conterminous U.S. (Alaska, Hawaii, Puerto Rico, and Possessions of the U.S. such as American Samoa, Midway Islands, and Virgin Islands).

1/ Indicate the bureau code number in Block 6C of the travel order.

2/ Indicate type travel code in Block 6A of the travel order.

PURPOSE OF TRAVEL DEFINITIONS

Purpose Code 3/	Category	Definition
1	Program	Site Visit--Visit to a particularsite in order to personally performoperational or managerial activities;e.g., oversee programs, grantoperations or management activitiesfor internal control purposes; carryout an audit, inspection, or repairactivity; conduct negotiations;provide instructions; providetechnical assistance.
2	Administrative	Information meeting--Attend-a-meetingto discuss general agency operations,review status reports, or discusstopics of general interest. If asite visit was conducted as part ofthe same trip, consider the entiretrip to be a site visit.
3	Administrative	Training attendance--To receivetraining.
4	Administrative	Speech or presentation--To make aspeech or a presentation, deliver apaper, or otherwise take part in aformal program other than a trainingcourse.
5	Administrative	Conference attendance--To attend aconference, convention, seminar, orsymposium for purposes of observationor education only with no formal rolein the proceedings.
6	Program	Relocation--To move from one officialduty station to another (same as aPermanent Change of Station move).

AdministrativeEntitlement travel--Travel to which
.....an employee (or dependent) is
.....entitled as a result of an
.....assignment; e.g., official vacation
.....or home leave; medical, emergency,
.....and education travel.

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PURPOSE OF TRAVEL DEFINITIONS

Purpose Code 3/	Category	Definition
8	Program	Special mission travel--To carry out a special agency mission; e.g., non- combat military unit movements; provide security to a person or a shipment (such as a diplomatic pouch); moving witnesses from residence to other locations.
9	Administrative	Other travel--To travel for reasons (purposes) which are not shown in one of the other 8 categories listed above.
10	Administrative	Emergency travel--Travel to return an employee from a temporary assignment location at Government expense to his/her designated post of duty or home, or other alternate location, where he/she would normally be present to take care of the emergency situation if the Government had not directed or assigned the employee to another location to perform official business.

3/ Indicate the purpose of the trip code in Block 6B of the travel order.

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EXHIBIT 301-1I

Accounting Office Addresses

USDOC-NOAA
Finance Services Division
Transportation Section
Caller Service #6025
Germantown, MD 20874

USDOC-CASC
Finance Division
Room 1760
601 East 12th Street
Kansas City, MO 64106

USDOC-WASC
Finance Div., RAS/WC1
BIN C15700
7600 Sand Point Way, NE
Seattle, WA 98115

USDOC-EASC
Finance Division
Room 4037
253 Monticello Avenue
Norfolk, VA 23510

USDOC-MASC
Finance Div., RAS/MC1
325 Broadway

Boulder, CO 80303

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PART 301-2--TRANSPORTATION ALLOWABLE

301-2.2(d) (1) (ii) (B) Non-contract air service. Advance authorization and the justification (see CTR 301-3.4(b) (1)) for the use of non-contract air service under these provisions shall be shown in Block 14 of the travel order. Also, for those employees authorized the use of a limited open travel order, a written justification letter must be submitted prior to the actual travel, unless emergency situations make advance authorization impossible. In such an event, the employee shall obtain written approval from the appropriate agency official at the earliest possible time after the travel is completed. In these instances, the reasons for the approval shall be stated on, or attached to, the travel voucher. In the absence of specific authorization or approval stated on, or attached to, the travel voucher, the employee shall be responsible for any additional cost resulting from the use of the non-contract air service. The additional costs shall be the difference between the air service used and the contract fare which would otherwise have been charged to the Government.

301-2.2(d)(1)(ii)(C) Rail or bus service. The General Services Administration has accepted on behalf of Federal agencies additional city-pairs served by AMTRAK and Greyhound that will provide discounted travel. Use of these city-pairs is considered advantageous. See the Federal Travel Directory. Where AMTRAK is listed as the city-pair contract carrier, use of rail is mandatory unless otherwise justified under CTR 301-3.4(b) (1) (ii) (B).

301-2.2(d)(2) Government-contract rental or Government-furnished Automobiles. Government rental car agreements are negotiated for the Government by the Military Traffic Management Command (MTMC). Rates apply to all Federal employees traveling on official business. (See CTR 301-3.2.)

301-2.2(d)(4) Special conveyance.

(i) Non-contract automobile rentals. If a vehicle is unobtainable through the Government rental car agreements or Government-furnished sources, the traveler should request an economy-type or other compact vehicle from commercial sources.

Also, the traveler must include the following statement on the travel voucher:

"GSA supplied vehicle was impractical to obtain or was not available, and car rental was at the lowest commercial rate available."

If a commercial vehicle is rented (whether or not under the Government rental car agreements), the traveler will pay for the rental in cash, contractor-issued Government charge card, or with a personal credit card.

When special conveyance is used for a combination of official business and personal use, the charges must be prorated accordingly.

(ii) Charter services. Charter services (air, bus, or water) required for extended periods of time will be approved by the individual(s) designated by the bureau before entering into an agreement for the services. Approval is not required to charter helicopters or other small aircraft for short flights to move personnel or equipment during the course of normal field activities. (See CTR 301-3.2(g).)

301-2.2(d)(5) Reservations. All reservations for Government-contract rental automobiles may be made by the traveler's office or a Federal Travel Management Center. Reservations may be obtained by calling the toll free numbers listed under Rental Car Information, Section 2 of the Federal Travel Directory.

301-2.3(a) To, from, and between places of work. See CTR 301-4.9 for Department policy on the extent to which local travel expenses may be paid.

(c) To and from carrier terminals.

(1) To keep expenses to a minimum where limousine service is available, travelers are expected to use taxis only between their residences and the limousine terminal upon departure and return. If taxis are used and the cost exceeds \$25 (including tips), a separate justification statement must be included on the travel voucher. A receipt for the fare is needed if it is in excess of \$25.

(2) When a privately owned vehicle is used in lieu of a taxi or limousine to get to an airport or depot upon departure and return, the round trip mileage between residence and terminal is payable at the rate provided for in FTR 301-4.2(a)(2). Such use does not require prior authorization, nor should Block 10, Privately-Owned Vehicle, on Form CD-29 be checked when a privately-owned vehicle is used for this purpose.

301-2.3(e) Between residence and office in cases of necessity. (See CTR 301-4.8(b).)

301-2.5(b) Indirect-route or interrupted travel. An employee may be reimbursed for official travel from the place of leave to a place of temporary duty under the following circumstances:

(1) When an employee is assigned to temporary duty at a location other than the permanent official station prior to the expiration of annual leave, the employee is entitled to travel and per diem expenses from the place of leave to a temporary duty station and return to the place of leave; this includes per diem for the time spent at the temporary duty location.

(2) If, at the expiration of annual leave, an employee is assigned to temporary duty away from the permanent duty station, the employee is entitled only to travel expenses in excess of the cost of returning to the permanent duty station from the location of leave. Per diem will be paid only while on temporary duty and will not be paid for any period of leave.

(3) If an employee is assigned to return to the permanent duty station prior to the expiration of annual leave, and returns to the point of leave upon completion of duties, the employee is entitled to travel and per diem expenses for the time required en route, but not for the time spent at the permanent duty station. However, expenses for time en route will not be granted unless the employee returns to the location where the leave was being taken.

(4) If an employee is assigned a change of duty station while on leave without pay, the employee must be restored to duty and transferred to the new duty station at the expiration of the period of leave without pay. Travel expenses are allowable from the location of the leave to the new permanent duty station and will not exceed the cost of travel from the old duty station to the new duty station.

PART 301-3--USE OF COMMERCIAL TRANSPORTATION

301-3.1 Taxicabs.

It is the Department's policy that employee convenience alone is not sufficient justification for use of a taxicab.

301-3.2 Rental automobiles and special conveyances.

(f) Contract automobile rentals. The Federal Government has negotiated an agreement with participating rental car companies under which these companies provide each traveler with liability coverage in the amount of \$100,000 per person, \$300,000 per accident, and \$25,000 property damage for each occurrence, as well as full comprehensive and collision coverage. Neither the Government nor its employees will be held liable for loss or damage to the vehicle, unless such loss or damage is caused by the willful and wanton negligence of the Government employee. If an employee rents a vehicle without orders, or from companies not participating in the program, charges for collision damage waiver (CDW) insurance will generally not be reimbursed. The program also includes unlimited free mileage. (See the Federal Travel Directory for participating firms and locations.)

The Department's policy regarding the rental of automobiles by travelers on temporary duty travel is:

(1) Rental car companies and their licensees participating in the Government agreements are the primary sources for vehicle rental by travelers on temporary duty travel.

(2) Use the car rental firm in the program which will result in the greatest savings to the Government. In selecting a particular firm, give consideration to additional transportation costs involved in obtaining and returning the car and to lost productive time.

(3) Use the smallest size vehicle available which will adequately carry out the purpose of the mission. When choosing the car size, the number of travelers riding in the vehicle, space available for luggage, and energy conservation (fuel economy) should be considered in addition to the criteria listed above.

(4) Travelers should refuel the vehicle before returning to the car rental location to avoid additional refueling charges and premium prices. The cost of the fuel will be reimbursed to the employee through the travel voucher process. A receipt for fuel purchases must be attached to the voucher.

(5) Sales taxes added to the vehicle rental charge must be paid by the employee. These charges are reimbursable to the employee through the travel voucher process.

(6) When a rental vehicle is used for a combination of official business and personal use, the prorated share of rental and fuel costs for official business shall be claimed.

(g) Chartered services. When chartered services are obtained, the terms of the charter shall be in writing and signed by an authorized bureau representative and the carrier. A GTR or contractor-issued Government charge card shall be used to obtain these services. (See CTR 301-2.2(d)(4)(ii).)

301-3.3(b) Train Accommodations. See the Federal Travel or your Federal Travel Management Center (FTMC) for information on obtaining reservations for AMTRAK service.

301-3.3(d)(2) Authorization and approval of the use of premium-class air accommodations. Premium-class air accommodations will be requested on Form CD-334, Request for Approval of Extra-Fare Air Accommodations, as delegated by bureau heads and forwarded to the Director for Finance and Federal Assistance (OFFA) for approval by the Assistant Secretary for Administration. Requests shall include specific justifications for each leg of the trip for which premium-class accommodations are requested. A copy of the approved travel order must be attached to the CD-334. Allow approximately 15-days lead time for review and approval. The CD-334 must be approved before premium-class reservations are made with the common carrier or Federal Travel Management Center.

301-3.3(d)(3)(ii)(B) Premium-class air accommodations necessary due to handicap or physical impairment. Employees who have medical certificates on file must be recertified every two years.

301-3.4(b)(1) Use of special lower fares.

(i) Travelers are encouraged to take advantage of special discount fares for international travel and, in limited cases, for domestic travel when approved contract carriers are not available between designated city-pairs (see (ii) below.) However, travelers and approving officials should be aware of the cancellation/change fee imposed by the airlines if the travel is cancelled, interrupted, or the itinerary is changed. If the travel is changed/cancelled by the traveler for personal reasons, he/she must pay the penalty fee. If the travel plans are changed because of official necessity and are determined to be advantageous to the Government, then the Government is responsible for payment of the penalty fee.

All travel orders for travel where special discount fares will be used and a cancellation/change fee will apply must include an acknowledgement statement in Block 14. The statement should read as follows:

"It is acknowledged that officials and travelers have been made aware of the cancellation/change fee imposed with the use of discount fares."

If the travel order has been signed prior to the knowledge that a special discount fare will be obtained, the above statement should be added to the travel order and initialed by either the requesting/official or the authorizing officer.

(ii) Contract airline/rail passenger service.

(A) General policy. When traveling between city/airport pairs, use of contract air (or rail service if applicable) is mandatory for official Government travel except uniformed members of NOAA corps and Foreign Service officers. However, all exempted personnel are authorized and encouraged to use these special services. City-pairs are listed in the Federal Travel Directory (issued monthly by GSA). In cities where separate contracts have been awarded between specific airports, travelers may use the airport which best meets their needs.

Contract fares shall not be used for personal travel taken in connection with official travel.

When there is no direct contract fare between the traveler's duty points, contract fares should be used in conjunction with other published fares and, when applicable, in conjunction with other contract fares.

Non-contract airlines may be used between listed city-pairs only under the travel conditions specified below.

(A) Exceptions to the use of contract carriers. One of the following travel conditions, which must be authorized on the travel order, or post approved on the CD-370, Travel Voucher, by an authorizing official, must apply if a non-contract carrier or a contract carrier other than the primary contractor is used for travel within a contract route. (The primary contract carrier is the carrier offering the lowest "YCA" fare.) In cities with multiple airports for which separate contracts have not been awarded on an airport basis, use of a contract carrier other than the primary contractor must be Justified based on one of the following, not on the basis of the convenience of one airport over another to the traveler.

(1) Space or scheduled flights are not available in time to accomplish the purpose of travel, or the contractor's schedule would require the traveler to incur unnecessary overnight lodging expenses.

(2) The contractor's schedule for the travel involved is inconsistent with the Government's policy of scheduling travel to the maximum extent practicable during normal working hours. Generally, for these purposes normal working hours will be considered as Monday through Friday, 7 a.m. to 7 p.m. (local time). All flights originating within this time frame will be considered compatible with the Department's policy. However, if travel originates outside of this time frame, contract carriers shall be used unless the actual travel status time on the contract carrier is more than 2 hours greater than a non-contract flight.

(A) A cost comparison substantiates that a restricted or unrestricted coach fare available to the general public is lower than the contract fare, all other cost factors being equal; or the use of a non-contract coach fare available to the general public plus the cost of such factors as ground transportation, lost productive time, allowable overtime, and additional overnight lodging expenses, would result in lower costs to the Government than if the same cost factors were added to the contract fare.

NOTE: In making cost comparisons, status fares ("MDG", "YDG", etc.) which are restricted to Government travelers and not available to the general public by non-contract carriers may be used for cost comparison purposes under the following conditions: the traveler can meet all applicable restrictions at a lower overall cost to the Government to include both transportation and per diem expenses; and the service provided by the non-contract carriers is equal to or better than the contract service with respect to an route travel times. Agencies also should consider any penalty fees that may be imposed by carriers when reservations for promotional/restricted fares are cancelled or changed, which may increase the cost of transportation by as much as 100 percent.

(C) Traveler liability. Unless there is specific authorization or approval stated on or attached to the travel order or travel voucher, the traveler shall be responsible for any additional cost resulting from the use of non-contract service or contract services that violate the order of carrier succession. The additional cost shall be the difference between the unauthorized contract or non-contract air service used and the lowest appropriate contract fare applicable as stated in the Federal Travel Directory.

301-3.5 Unused, downgraded, cancelled or oversold transportation services.

(a) Unused or downgraded tickets or cancelled reservations.

(1) When a traveler knows that reservations for transportation and/or accommodations will not be used, the following rules apply in the Department:

(i) A statement must be made on the reimbursement voucher as to the date and time of the reservation and the date of its cancellation.

(ii) If the reservation was not released within the time limits specified by the carriers, an explanation of the failure to do so must be given.

(iii) If, in the Judgment of the authorizing officer, the traveler was not responsible for failure to cancel within the specified time limit, approval for the action in the form of a signed statement must be attached to the reimbursement voucher.

(iv) If the traveler is held to be responsible for the failure to cancel the reservation, the cost of the accommodations (plus tax) will be charged to the traveler.

(b) Oversold reserved accommodations (denied boarding). All payments received from carriers will be forwarded immediately to the traveler's finance office or his/her bureau's payment center in accordance with bureau procedures. The only exception to this rule may occur when an employee voluntarily vacates a reserved seat. (See FTR 301-3.5(c).)

(d) Traveler's responsibilities. All unused tickets or unused portions of tickets which cannot be returned to their original source, e.g., FTMC, shall be returned by the traveler to the servicing payment center along with a properly annotated travel voucher. (See FTR 301-3.5(a)(2).)

If an unused, downgraded, or exchanged ticket is surrendered to a carrier in exchange for a receipt or ticket refund application, the employee is responsible for providing to the carrier the accounting office address as shown on the CD-29, Travel Order. This address is provided in Block 10 of the CD-29. (See Exhibits CTR 301-1E and 301-1F.) Receipts, refund applications, etc. must accompany the travel voucher and must be submitted in accordance with Section 2, Chapter 2 of the Administrative Payments Manual.

Travelers purchasing tickets with a contractor-issued Government charge card should return the tickets to the common carrier or its authorized agent and obtain a credit to their charge account.

301-3.6(c) Use of foreign flag air carriers.

(3) Justification statement. If a foreign air carrier is used for any part of the trip, the traveler or bureau must furnish a justification statement explaining specifically why it was necessary to use a foreign air carrier. (See FTR 301-3.6(c)(3) regarding the format for the justification statement.)

When reservations are made at a Federal Travel Management Center, the statement must be signed by the traveler's authorizing official and attached to the travel order. When foreign air carrier transportation is procured while in a travel status, the statement should be signed by the traveler and attached to the travel voucher.

(4) Employee liability for disallowed expenditures. If the use of a foreign flag air carrier cannot be justified, a bill for collection will be issued to the employee for the total amount paid to a foreign flag air carrier. The Comptroller General, in Decision B-138942, dated 3/12/76, has stated that all unjustified expenditures to foreign flag air carriers will be disallowed. Foreign flag air carriers may be used when the total amount of the fare is financed directly by or reimbursed from private sources or a foreign government (57 CG 546).

(i) Expenditures for transportation on foreign air carriers shall be disallowed in the absence of a proper justification statement and will be the responsibility of the traveler. Where the traveler fails to use available U.S. flag air carrier service or travels by indirect route on a foreign aid carrier, the amount to be disallowed is based on the loss of revenues suffered by U.S. flag air carriers as determined by the formula in FTR 301-3.6(c)(4).

(ii) In addition to the disallowed amount, the employee is also personally responsible for payment to the air carrier of the amount by which the indirect fare exceeds the authorized fare payable by the Government.

(iii) The fact that a traveler is unaware of the requirements of the Fly America Act does not relieve him/her of liability under the FTR. There is no basis for waiver from this provision.

301-3.7 Lost tickets.

(a) Liability. Generally, employees will be responsible for the cost of lost tickets or the fee for filing for refund of a lost ticket.

(b) Substitute tickets. Travelers can often avoid spending personal funds by obtaining a substitute ticket from the carrier. Most airlines, as a service to their customers, will attempt to reissue a ticket in accordance with individual airline procedures. A traveler should explain the ticket loss to the airline ticket agent and request a replacement ticket. Most airlines will comply if a boarding pass has not been issued against the lost ticket and if the traveler can produce proper identification and a copy of his/her travel orders.

PART 301-4--REIMBURSEMENT FOR USE OF PRIVATELY OWNED CONVEYANCES

301-4.1(c) Other allowable costs. Parking fees incident to the use of a privately owned vehicle (POV) for official local transportation are allowed.

301-4.2 When use of a privately owned conveyance is authorized or approved as advantageous to the Government.

When public air, rail, or bus transportation is available, reimbursement for the use of a privately owned conveyance shall not exceed the cost of a contract carrier or economy plane fare. If air transportation does not serve the points of travel, reimbursement shall not exceed the cost of travel by common carrier normally used, e.g., rail or bus.

301-4.7 Detail of employee locally.

When an employee is detailed to another office or location in a metropolitan area, only the mileage cost exceeding the daily mileage or commuting cost to the employee's permanent (official) duty station will be permitted. However, total mileage will be reimbursable for travel performed (while on detail) on days which are non-work days at the permanent duty station.

301-4.8 Allowance for overtime.

(a) No mileage allowance will be granted for travel between the employee's residence and duty station for overtime on non-regular workdays.

(b) Taxi fares, not mileage costs, may be reimbursed in limited circumstances for travel incident to work ordered to be done outside normal working hours and after dark. However, the employee must have received notification of unscheduled overtime after reporting to duty. When emergency overtime is required, taxi fares may be authorized only when the use of public transportation would subject the employee to substantial personal hazard or safety and only when the employee can provide no other means of transportation. (See FTR 301-2.3(e) for use of taxis between residence and office in cases of necessity.)

301-4.9 Local travel.

(a) Definitions.

(1) Actual work site--The place at which the major portion of the employee's duties are performed and where the greater part of his/her time is spent.

(2) Local travel--Travel within a 50-mile radius of either the official duty station or residence.

(3) official duty station--The limits of the official station will be the corporate limits of the city or town in which the employee is stationed.

(b) General rule. Employees must reach their actual work site and return to their residences at their own expense. Even though commuting costs may be increased by the performance of overtime duty or other emergency conditions, this does not change the basic rule that employees must bear the expense of travel between their residence and their actual work site.

(c) Policy.

(1) When an employee performs official local travel to an alternate work site, or to a location within the metropolitan area outside (surrounding) the limits of the official duty station (ODS), only the travel costs exceeding the normal daily commuting costs will be reimbursed, not to exceed travel costs from the actual work site to the alternate work site. If an employee normally commutes to the ODS by carpool, the employee's normal commuting expenses will be considered those expenses saved by not commuting with the carpool.

(b) Total travel costs will be reimbursed without a deduction when an employee performs official local travel outside the limits of the ODS on days which are non-work days at the ODS.

(c) No reimbursement will be allowed for travel costs between the employee's residence and actual work site for overtime work on non-regular work days, or when employees are called back from their residence for overtime work on regular work days.

(d) When an employee travels to the location of his/her ODS on regular or non-regular work days, but is directed to report to a location other than the actual work site, only the travel costs exceeding his/her daily normal commuting costs will be reimbursed, not to exceed travel costs from the actual work site to the alternate work site.

PART 301-5--BAGGAGE

301-5.2 Authorization for excess baggage.

Expenses for excess baggage should be specifically authorized and justified on the CD-29, Travel Order, when known beforehand that the traveler will be carrying heavy or bulky Government property. On occasion, excess baggage can also be authorized when a trip is for an extended period of time and the traveler would reasonably be expected to carry personal baggage exceeding a carrier's limits. Normally, the Government Excess Baggage Authorization/Ticket (GEBAT) box (see CTR 301-5.3) on the CD-29 will be checked if the excess baggage is Government property or the trip is for an extended period. Otherwise, the traveler is expected to pay cash. The justification on the travel order should include a reasonable estimate as to the number of pieces (domestic trip) or the number of pounds (foreign trip) that are authorized.

301-5.3 Payment of costs for baggage.

Receipts are required for cash payments and must show the weight of the baggage and the points between which it was shipped. If a GEBAT is issued, the traveler must present the GEBAT to the ticket agent only after the carrier has determined that the baggage is in excess of the carrier's limits.

301-5.6 Lost or damaged baggage.

When not adequately reimbursed by a carrier for lost or damaged property, the traveler may file a claim under 31 U.S.C. 3721 (the Military Personnel and Civilian Employees Claims Act of 1964, Public Law 88-558). Form CD-224, Employee Claim for Loss of or Damage to Personal Property, should be submitted to the bureau office delegated the authority to settle claims. Form CD-224 must be supported with copies of all documents that substantiate the claim, such as the travel order, correspondence with the carrier, the amount paid by the carrier. (See Exhibit 301-5A.) For additional information, see DAO 203-17, Personal Property Claims of Department of Commerce Personnel.

May 1990 (TM 8)

DOC TRAVEL HANDBOOK

Chapter 301--Travel Allowances 301-6.1

PART 301-6--COMMUNICATIONS SERVICES

301-6.1 Authorization.

Telephone calls on official travel, both local and long-distance, may be made to conduct the official business of the Department. In addition, long-distance telephone calls both to and from points within *and outside* the 50 States, the District of Columbia, Puerto Rico, and the Virgin Islands are authorized as being in the interest of the Government when:

(a) An employee, traveling on Government business is delayed due to official business or transportation delay, and calls to notify his or her family of a schedule change;

(b) An employee traveling for more than one night, *i.e., two or more nights,* on Government business makes a brief call to his or her residence or immediate family;

(c) An employee and/or spouse are traveling for two or more nights away from the present duty station on an approved househunting trip resulting from a permanent change of duty station makes a brief call to his or her residence or immediate family members that remain at the old duty station; or

(d) An employee travels for two or more nights enroute from his or her old duty station to a newly assigned duty station makes a brief call to his or her immediate family members that remain at the old duty station.

301-6.2(b) Use of commercial services. When a Government telephone system is not available to place an authorized personal long-distance phone call to the traveler's residence or immediate family, a call may be made on a commercial system. Reimbursement for authorized personal calls on a commercial system will be made under the following guidelines:

(1) A claim of no more than \$3.00 may be made for each day in which a call is placed *while the employee is traveling between points within the 50 States, the District of Columbia, Puerto Rico, and the Virgin Islands.*

(2) A claim of no more than \$6.00 may be made for each day in which a call is placed while the employee is traveling to points outside the 50 States, the District of Columbia, Puerto Rico, and the Virgin Islands.

(3) Reimbursement will not be made for more than one call per day.

(4) Claims will be allowed for calls placed on the day of return from official travel only for notification of a change in schedule. The traveler must note on the travel voucher that a call to his/her family was necessary due to a change in business plans or in common carrier scheduling.

(5) Claims for authorized personal calls will be itemized separately from calls made to conduct official business. Both types of calls will be claimed as a miscellaneous expense on the travel voucher.

(6) Local phone charges (e.g., charges imposed by a hotel) incurred when placing an authorized personal long-distance call are not to be included in the amount claimed.

(7) Personal calls are authorized only when made to the traveler's residence or immediate family. For the purpose of authorized telephone calls, immediate family includes spouse, children, and anyone sharing the same residence with the employee.

(8) In the case of a change in the traveler's return travel plans, a call may be placed, when the immediate family is unavailable, to someone who will notify the immediate family of the change or will be providing transportation to the employee upon arrival.

(9) Personal calls shall not be charged to the Government-issued telephone calling card.

301-6.5 Supporting statement.

The approving official's signature on the travel voucher certifies that telephone calls were in the interest of the Government, unless the approving official does not have written authorization from the bureau head or his/her designee to authorize such calls. In such cases, a separate certification for telephone calls must be made on the travel voucher by an official so authorized. For any other method of communication, a supporting statement must appear on the travel voucher.

PART 301-7--PER DIEM ALLOWANCES

301-7.1(c) (4) Snacks. There is no authority for reimbursement for snacks, such as candy, sodas, coffee, sweet rolls, donuts, etc., which are not consumed as part of a regular meal.

(d) Employee Responsibility. In certain locales, occupancy taxes may be waived by the state or local government. Travelers are encouraged to obtain and use state exemption certificates. For more information, refer to the Federal Travel Directory for locales that offer Federal travelers an exemption from the tax(es). SF-1094, U.S. Tax Exemption Certificate, shall not be used for this purpose.

(e) Bureau responsibilities for authorizing/approving rates. It is expected that all travelers will obtain the most economical available rates for adequate and reasonable accommodations, officials authorizing or approving travel shall ensure that such travel is performed in a reasonable, economical manner and that employees for whom they authorize or approve travel are fully aware of their responsibility to incur reasonable subsistence expenses.

301-7.3 Rate adjustment requests for travel within CONUS.

All requests must be forwarded to the Director for Finance and Federal Assistance for submission to GSA. The request(s) must be supported by detailed information in accordance with FTR 301-7.3(b).

301-7.4 General rules affecting entitlement to per diem.

(a) No allowance at official station. Except for official training sessions under the Government Employees Training Act, no meals or refreshments may be provided at Government expense to employees while at their official station or vicinity of their place of abode.

(1) Close proximity to official (permanent) station or place of abode (residence).
Per diem should be paid only where it is necessary to cover the increased expenses incurred or arising from the performance of official duty.

(i) Per diem shall not be paid for travel performed within a 50-mile radius of either the employee's official station or the employee's residence (place from which employee commutes daily to the official duty station).

(ii) Under unusual circumstances, the authorizing official may authorize per diem on a case-by-case basis, based upon commuting time or distance, the location of the employee's residence and official station, and the nature of the temporary duty as it relates to the commute. If per diem is authorized, the circumstances and justification will be annotated on the CD-29, Travel Order.

(d) Deductions for meals and/or lodgings furnished. When lodgings and meals are furnished without charge or at a nominal cost, or when the subsistence costs to be incurred may be accurately estimated in advance, a specific per diem rate may be established by the authorizing official with appropriate deductions made. This exception to the lodgings plus system must be authorized in writing, in advance, by the authorizing official. Use Block 12 on the travel order.

If a meal is provided by a donor organization (gift or bequest), an appropriate reduction(s) shall be made to the per diem rate. (See FTR 301-7.5(a)(2)(ii) for the amount(s) to deduct for each meal. Also, see CTR 301-1.5(b)(4) and 301-10.5 regarding acceptance of traveling expenses from outside sources.) When there is no charge to the employee for lodgings or meals, the per diem rate is \$2.00 per day within CONUS and 15% of the per diem rate outside CONUS.

Persons attending Office of Personnel Management Executive Seminars (such as the seminars at Kings Point, Denver, Charlottesville) where room and board are furnished, may be authorized a per diem not to exceed \$2.00.

(e) "Two-Day Rule." Generally, employees shall not be reimbursed for per diem expenses when they accelerate departure from their official duty station or delay departure from their temporary duty (TDY) location by two days or more for the sole purpose of performing the travel during regularly scheduled working hours. For instance, an employee who is administratively scheduled to perform TDY on Monday, may not be paid per diem for two consecutive non-workdays when he/she departs on Friday in order to avoid traveling on the weekend.

301-7.5(b) Per diem allowance computations.

(1) Travel of 24 hours or less.

(iii) More than 10 hours.

(A) Lodging not required. When more than one temporary duty location is involved, the exact times of arrivals

and departures at the temporary duty locations must be reported on the CD-370, Travel Voucher.

301-7.5(b)(3) Lodging location rules.

(ii) Lodging not available at temporary duty location. If it is known in advance of the travel that lodging is not available at the temporary duty location and lodgings must be obtained in an adjacent locality where the prescribed maximum per diem rate is higher than the rate prescribed for the temporary duty location, the travel order must be annotated as to where lodgings will be obtained, the circumstances that cause lodgings to be obtained in another area and the applicable maximum per diem rate for that area. If the higher maximum rate is not authorized in advance, post approval of the higher per diem rate or actual subsistence may be allowed. (See FTR 301-8 and CTR 301-8.4(c).) If a higher per diem rate is post-approved, employees must include a statement on the voucher explaining the circumstances that caused lodgings to be obtained in another area. The statement "Reimbursement of subsistence expenses as stated on the voucher is necessary and post approved" must be included in the remarks section of the voucher. Post approval must be signed by the authorizing official who originally signed the travel order.

301-7.5(d) Deviation from lodgings-plus per diem system. Under certain travel situations, such as those described in FTR 301-7.7 and 301-7.9, bureau officials authorized to approve travel should authorize a specific per diem rate less than the maximum per diem otherwise applicable to the travel situation. The specific per diem rate must be authorized in advance on the travel order.

301-7.6 Per diem computation rules for travel to, from, between, or within locations outside CONUS.

(a) Maximum per diem allowable. When lodging is not required during a calendar day of official travel, the per diem rate shall be reduced to 45 percent of the applicable maximum rate.

(c) Computation of per diem rates for en route travel to, from, or between locations outside CONUS.

(2) Rates and conditions.

(i) Same day return. When a traveler departs from a locality outside CONUS and returns during same calendar day, the maximum per diem rate shall be reduced to 45 percent of the applicable maximum rate to reflect the absence of lodging costs.

(6) Rest stops.

(i) Rest stops are authorized at bureau discretion. The travel order must specifically authorize a rest stop and identify the location. A traveler may be allowed to travel on business-class accommodations in lieu of a rest stop enroute or an acclimatization rest at the destination when it is determined that it would result in an overall savings to the Government.

(ii) Selection of the rest stop location will be in accordance with usually traveled routes and Comptroller General guidelines regarding the Fly America Act.

(e) Deductions for meals end/or lodgings furnished. Department policies and procedures governing the acceptance of gifts and bequests are provided in DAO 203-9. Form CD-210, Record of Gift or Bequest, will be prepared in advance whenever possible. If travel expenses are accepted from a foreign government, the policies and procedures contained in DAO 202-739 should be followed. Form CD-342, Record of Gifts and Decorations from Foreign Governments, will be prepared in advance when possible. (See CTR 301-1.5(b)(4) and 301-10.4 regarding acceptance of traveling expenses from outside sources. Also, see CTR 306-4.2(c) for the appropriate percentage deduction from the per diem allowance for each meal furnished.)

301-7.7 Reductions in maximum per diem rates when appropriate (worldwide).

Bureau officials authorized to approve travel should authorize a reduced per diem rate based on the circumstances of the travel when known factors would cause the traveler's subsistence expenses to be less than the prescribed maximum per diem rate, e.g., when lodging and/or meals are obtained at a reduced rate or are furnished to the employee. Such reduced rate must be authorized in advance on the travel order. On the first and last day of travel, bureau officials should establish a specific per diem rate by either prorating the reduced rate by quarters or prescribing a special reduced rate for the partial travel days based on the circumstances of the travel.

(a) When no lodging expenses incurred. Reimbursement to the employee plus subsistence expenses paid by the Government on behalf of the employee (e.g., lodgings paid with a purchase order) may not exceed the stated maximum rate. The daily lodging amount paid on a purchase order shall be stated in the remarks section of the travel order.

(b) When meals/lodgings are furnished by the Government. (See CTR 301-7.4(d) and 301-7.6(e) for Department policy regarding acceptance of meals/lodging and the requirement to reduce the maximum per diem rate.)

(c) Extended stays. For details of less than 30 days, such as for certain training courses, a lower per diem rate other than the maximum allowed should be established if such lower rate will meet expenses. In all cases of extended stays of 30 days or more the approving official will consider establishing a lower per diem rate. Based on the circumstances of the travel assignment, bureau officials may authorize the reduced per diem rate from the first day of the temporary duty assignment or the rate may be reduced after a specified period of days, e.g., 15 days, 30 days. When a reduced per diem rate is established, the rate must be authorized in advance on the travel order. (See CTR 301-7.7 above for guidelines to be followed on per diem for partial travel days.)

(d) Meetings and conventions.

(1) Department sponsored events. Meetings, conferences, and training sessions should be planned to allow for the most effective use of funds. (See CTR 305-4.1 for policies on conference management.)

(2) Non-Department sponsored events. If meals are included in the registration fee for an event, deduct the amount as shown in FTR 301-7.5(a)(2) from the per diem claim for each meal provided. This applies to meals furnished by non-Government organizations through arrangement with the Government or through registration fees paid by the Government. If a meal is not included in the registration fee, but the employee's presence at the meal is necessary for full participation in the meeting, deduct the amount indicated for that meal from the per diem claim, but separately reimburse the employee for the cost of the meal by including it as a separate item on the voucher with an explanation of the circumstances.

(e) Subsistence payments for extended training assignments.

(2) For long-term training a reduced subsistence payment of not more than 55% of the applicable maximum per diem rate shall be authorized. The established rate must be shown on the travel order. (See CTR 301-7.7 above for guidelines to be followed on per diem for partial travel days.)

(3) Transportation of household goods, packing, crating, temporary storage, drayage, and unpacking costs may be paid

whenever the estimated costs of such transportation and related (services are less than the estimated aggregate payments of per diem An lieu of subsistence for the period of training. The aggregate per diem payments will be based on an assigned rate, not to exceed 55% of the applicable maximum per diem rate. When the round trip transportation costs for the family and household goods do not exceed the aggregate per diem costs, the employee will have the option of selecting either reimbursement for transportation costs or the per diem computed as described above. Per diem while in travel status to and from the training site will be at the usual travel rates. (See Chapter 302 for actual entitlements.)

301-7.11 Interruptions of per diem entitlement.

(a) Leave and non-workdays.

(3) Travel away from temporary duty location on non-workdays. When employees at a temporary duty location choose to travel on non-workdays to a location other than their official Station or residence (see subparagraph b, below), entitlement to per diem or actual subsistence continues. However, the employee is not entitled to transportation costs in lieu of claiming per diem or actual subsistence.

(b) Return to official station for non-workdays.

(2) Authorized return--substantial cost savings. Bureaus should formulate internal policies for non-workday return travel, addressing specific employee situations within their authority.

(3) Authorized return incident to extended temporary duty. Generally, employees may be authorized to return to their official stations at intervals of not less than two weeks, provided that the TDY assignment will continue for at least one more week. Approval authority for periodic weekend return should be held to as high an administrative level as practicable. Each bureau is responsible for preparing the appropriate cost analysis to justify such returns based on factors that may be unique to the bureau.

PART 301-8--REIMBURSEMENT OF ACTUAL SUBSISTENCE EXPENSES

301-8.1 General.

(a) Authority. Authority for reimbursement of actual and necessary subsistence expenses incurred during official travel is normally contingent upon the entitlement to per diem.

(b) Delegation of authority, officials delegated to approve all other travel (see CTR 301 1.4(b)) are authorized to approve travel on an actual subsistence expense basis. Actual subsistence reimbursement should be authorized only under those circumstances listed in FTR 301-8.2(a), since per diem rates in FTR Chapter 301, Appendix A, and those prescribed by the Departments of Defense and State have been set to reflect normal travel costs.

(g) Maximum to be stated on travel order. The travel order must show the maximum allowance per calendar day for actual expenses, e.g., "actual subsistence expenses not to exceed \$-.00 per day."

301-8.2 Conditions warranting authorization or approval of actual expenses.

(a) Travel assignments involving special or unusual circumstances. Actual subsistence reimbursement may be authorized or approved when the actual and necessary subsistence expenses exceed or are expected to exceed the applicable maximum per diem by 10 percent or more.

(c) Travel performed without prior authorization. (See CTR 301-1.5(f) for emergency travel authorization policy.)

301-8.3 Maximum daily rates and reimbursement limitations.

(a) Travel within CONUS.

(2) Reimbursement limitation. Reimbursement for the M&IE allowance shall not, under any circumstances, exceed 150 percent of the M&IE rate applicable to the temporary duty location. For a location where the M&IE allowance is usually \$26, the maximum allowed for M&IE would be \$39. Where the M&IE is usually \$34, the maximum allowed would be \$51.

301-8.4 Authorization or approval.

(a) Requests for authorization or approval of actual expense reimbursement. Actual expenses should not be authorized on

limited open travel orders but should be post approved in the remarks section on the travel voucher. All other travel on actual expenses should be authorized specifically on individual travel orders.

(c) Approval after travel is completed. If post-approval is requested, the traveler must submit a travel voucher (listing actual expenses) to the authorizing official for review along with a statement explaining the circumstances for requesting actual subsistence. The words "Reimbursement of actual subsistence expenses as stated on the voucher is necessary and post approved" must be included in the remarks section of the voucher. This statement must be signed by the authorizing official who is delegated the authority to approve travel on an actual subsistence basis under CTR 301-8.1(b).

301-8.5 Documentation of actual expenses on the voucher.

In certain locales, occupancy taxes may be waived by the state or local government. Travelers are encouraged to obtain and use exemption certificates. For more information, check the listing of locales in the Federal Travel Directory.

(b) Agency review and administrative controls.

(1) Excessive meal costs. The cost of meals claimed under subsistence expense must be reasonable.

(2) Limitations on tips and gratuities. Under usual circumstances, a maximum limit of \$2.00 has been established for tips to porters, baggage handlers, and hotel/motel personnel. Gratuities or tips to dining room employees and others providing necessary services to the traveler will be limited to 15 percent of the basic charge.

(c) Dry cleaning and laundry. Travelers are expected to carry sufficient clothing for trips of five days or less. Claims for reimbursement for dry cleaning and laundry services on trips of five calendar days or less will not be allowed unless justification by reason of unusual or uncontrollable circumstances. Reasonable claims for dry cleaning and laundry when traveling in excess of five calendar days will be approved. Receipts must be submitted for laundry services. Laundry and dry cleaning expenses for employees on temporary duty assignments exceeding five days are approved only to the extent necessary to complete the assignment. Generally, an employee will not be reimbursed for laundry of clothes immediately prior to return to his/her permanent duty station.

PART 301-9--MISCELLANEOUS EXPENSES

301-9.1 Expenses allowable.

(e) Other expenses. When authorized on the travel order, reimbursement may be made for registration fees for attendance at meetings or conferences in connection with activities of the Department. Registration fees may include the cost of meals without additional charge to the employee when it is determined that a person cannot fully participate in the purpose of the meeting without attending the meals. A deduction, as provided for in FTR 301-7.5(a)(2)(ii) (CONUS) and CTR 306-4.2(c) (foreign), will be made for each meal furnished. If the registration fees and meal costs are not authorized on the travel order, it will be necessary for the authorizing officer to certify the necessity for attendance on the voucher. Where an employee attends a meeting under similar circumstances at his or her headquarters where no per diem is received, the registration fee and cost of luncheon or banquet (if appropriate) may be reimbursed to the employee upon certification by the authorizing officer. In these cases, SF-1164, Claim for Reimbursement for Expenditures on official Business, should be used in lieu of a travel voucher. May 1990 (TM 8)

PART 301-10--SOURCES OF FUNDS

301-10.1(c) Government contractor-issued charge cards. To reduce the need for travelers to use their own money, as well as to foster effective cash management practices within the Department, *employees who are frequent travelers are encouraged to obtain and use the contractor-issued Government travel charge card.* A frequent traveler is an employee who is expected to travel on behalf of the Department two or more times per year. The contractor-issued Government travel charge card is the preferred method to be used for paying for travel expenses. (See Exhibit CTR 301-10A *to this Part* for policies and procedures regarding the contractor-issued Government travel charge card.)

301-10.1(d) Travelers' responsibility. Travelers are personally responsible for travel resources made available by the Government, such as travel advances, *including those advances received from automatic teller machines (ATM) using the contractor-issued Government travel charge card*, and common carrier transportation tickets, and must:

- (1) Safeguard the funds *and tickets*;
- (2) Spend funds for authorized purposes only;
- (3) Be able to account for all resources advanced;
- (4) Promptly submit travel vouchers; and
- (5) Promptly repay any advances that are not needed and return any unused Government-issued transportation tickets.

Travelers who receive travel advances, *including those received from ATMs,* or Government-issued transportation tickets are personally liable for them if they are lost or stolen.

301-10.2 Procurement of common carrier transportation.

Government travelers on official business must obtain passenger (air, rail, or bus) transportation services by one of the methods listed below. "Government travelers" include non-Federal employees, such as consultants, traveling on official business. The authorized methods for obtaining common carrier transportation services are listed below in order of preference:

*Government Travel Account (GTA) which is a centrally billed account established with the travel charge card contractor and managed by a designated Travel Management Center (TMC), a

travel agent under Government contract, primarily for the purchase of passenger transportation services;*

- *Individual employee* contractor-issued Government travel charge card;
- Government Transportation Request (GTR);
- Cash--less than \$100 or for emergency use.

These methods may be used at a Travel Management Center (TMC) or directly with a common carrier when authorized by the bureau authorizing official. Travelers that do not have the above methods or service facilities available to them may have their approving official arrange with a TMC to mail or wire a pre-paid ticket to a pre-established location for pick-up by the traveler. Under this method, the tickets must be purchased *through a Government Travel Account (GTA)*, with an individual *contractor-issued Government travel charge card* or GTR, or through an established blanket GTR arrangement.

(a) U.S. Government Transportation Requests (GTRs), SF-1169. GTRs must be obtained from the *bureau's payment office* by submitting an approved written request as designated by each bureau head. Recommended procedures are contained in the *NOAA* Administrative Payments Manual (APM), Chapter 2, Part 1.

(2) Use of the *GTA* or GTR. All common carrier transportation costing more than \$100 should be procured *through GTA*, GTR or other authorized method as previously discussed in this section or under (b) below. Procurement by *GTA* or GTR includes the direct use of an individual GTR or through a Department authorized TMC which has *established a GTA* or has a blanket GTR arrangement with the Department. When necessary, the FMC may wire or mail a pre-paid ticket to a traveler at a field location. (See (b) (2) below for limited exceptions.)

(3) Lost or stolen GTR. A written report, prepared by the traveler or accountable employee, must be forwarded to the servicing payment office (see APM, Chapter 2, Part 1) setting forth all the pertinent facts. In addition, a traveler is required to safeguard tickets and is liable for any costs or expenses that can reasonably be said to flow from the loss of a ticket. (See FTR *301-1.103(a)* for information on the potential liability of Government travelers using GTRs.)

(b) Cash payments for procurement of common carrier transportation services. Employees are authorized to use cash to procure common carrier transportation services costing less than

\$100; however, the traveler should be aware that the use of a *GTA*, GTR or a contractor-issued Government travel charge card is required to obtain certain Government discount fares and to comply with mandatory use of contract airline services between designated city-pairs. Cash shall not be used to circumvent the regulations governing airline city-pair contracts.

(1) Procedures for the use of cash.

(iii) When cost of transportation exceeds \$100. When cash is used to purchase common carrier transportation services costing more than \$100, the traveler shall be responsible for any non-approved additional costs, such as the use of foreign-flag barriers, premium-class, or non-contract air accommodations. Under emergency and certain non-emergency situations, exceptions to the \$100 limitation may be allowed. (See Exhibit CTR 301-10B *to this Part* for exemption procedures.)

(2) Exceptions to cash payment limitation. Exceptions to the use of a *GTA*, GTR *or individual contractor-issued Government charge card* to procure common carrier transportation services in excess of \$100 are authorized under the following conditions:

(i) Reduced group or excursion fares available from travel agencies. Prior to the travel, an administrative determination shall be made addressing the cost savings and affect on other regulations to secure reduced group or charter fare arrangements available only by cash purchase through travel agents. (See CTR *301-1.103(e)* and FTR 301-3.4(b) (2) .)

(iv) Overseas tour renewal agreement travel. Relative to tour renewal travel, an employee is obligated to pay, at personal expense, the transportation costs of dependents who travel prior to the employee's eligibility date. In those instances, reimbursement may be made, without regard to the \$100 limitation, after the employee has performed actual tour renewal travel. However, those employees who are eligible for tour renewal leave and travel with their dependents must have that travel arranged in accordance with the applicable regulations.

(3) Reimbursement. A traveler who has paid cash for authorized passenger transportation services must support the expenses with pertinent coupons or other evidence when submitting the travel voucher. By signing the travel voucher, the traveler assigns to the United States Government any rights he/she may have in connection with any reimbursable transportation charges.

301-10.3 Advance of funds.

(a) Authority.

(1) Bureau approving officials are responsible for determining that advance amounts conform to Departmental policy. advances may be used only for proper expenditures under the laws and regulations applicable to the type of travel involved. All advances must be properly accounted for and promptly refunded when the official need ends. (See CTR 305-2.)

(i) Employees are responsible for making a reasonable request and the approving officer must ensure that requests are reasonable before signing the form CD-369, Travel Advance. The traveler must show the balance of any previously received travel advances outstanding at the time a request is submitted for an advance. Normally, a traveler is expected to file a reimbursement voucher and clear any previous travel advance balance before requesting a new advance.

(ii) Funds may be advanced to new/transferred employees who are eligible to receive reimbursement for travel to their first/new post of duty. Advances for relocation expenses shall be requested in stages for each step of the travel (e.g., house-hunting, temporary quarters, etc.).

{iii) Approving officers are responsible for ensuring that advances are not requested until needed and that the amount requested is commensurate with the travel to be performed.

(iv) Recommended Departmental controls and procedures on travel advances are contained in Chapter 1, Part 1, of the NOAA Administrative Payments Manual (APM).

*(2) Bureau approving officials may advance funds to non-Government individuals or to employees of other Federal agencies (invitational travelers) who are requested to travel on behalf of the Department. The advance must be justified and limited to the minimum amount needed to accomplish the purpose of the travel. when advances are provided to an invitational traveler, a home and/or business address must be obtained from the traveler.

Approving officials are also responsible for ensuring that invitational travelers prepare and submit travel vouchers (if possible, this should be done before the traveler returns to their residence or place of business) applying the total claim amount to the outstanding advance and requesting payment from the traveler for any additional balance still owed. Except under unusual circumstances, invitational travelers shall not be allowed to carry over an outstanding travel advance. Bureau officials shall establish internal procedures to ensure that every effort is made to collect any outstanding travel*

advances that are owed to the Government by invitational travelers.*

(3) The following are the options available (in order of reference) for obtaining travel advances:

(i) For those employees who have been issued the contractor-issued Government travel charge card, it is mandatory that they use the card to obtain cash advances from automatic teller machines (ATMs) instead of receiving cash advances from the imprest fund. Cardholders will be issued Personal Identification Numbers (PIN) by the contractor. If an employee does not receive a PIN, does not remember the PIN, or wishes to change the PIN, he/she should call 1-800-CASH NOW (1-800-227-4669). Initially, employees are limited to a weekly withdrawal of \$500. However, on a case-by-case basis, that amount can be increased. employees who require an increase must contact their bureau charge card coordinator to request an increase. Cardholders will be charged an ATM fee which is reimbursable as a miscellaneous expense on the travel voucher. However, under unusual circumstances, cardholders who are in a constant travel status and may have difficulty making timely payments to the contractor may be considered for authorization to obtain and retain travel advances through their payment office. Requests for consideration shall be made through the employee's bureau finance officer. (See 301-10.3(c) (5) below.)

(ii) Travel advances shall be obtained by submitting Form CD-369, Travel Advance, *to the bureau's servicing payment office for the issuance of a Treasury check to be mailed to the employee's home.* An approved CD-29, Travel Order, must be attached to the travel advance request. *Travelers should submit the CD-369 to the payment office at least ten working days in advance of the start of a trip in order to allow for processing and mail time.*

(iii) *In emergency situations when sufficient time is not available to await issuance of a Treasury check, and the traveler does not have the contractor-issued Government travel charge card*, travel advances in the form of cash can be obtained from imprest fund cashiers upon presentation of an approved CD-369, Travel Advance, a copy of the approved CD-29, Travel Order, and proper identification. Advances of less than \$100 are not cost effective and are discouraged.

(iv) Where available, travel advances obtained from imprest fund cashiers may be issued to employees in the form of travelers checks instead of cash. Travel advance requests for travelers checks for amounts greater than \$100 must be rounded up or down (at the traveler's option) to the nearest multiple of

\$50. This allows advances over \$100 to be issued without the disbursement of any cash. If the amount of the advance presented to the cashier is not a multiple of 550, it must be changed. The traveler, or the person designated by the traveler, must initial the change if made on the original form or a new CD-369 must be prepared.

301-10.3(b) Limitation. Employees who have been issued the contractor-issued Government travel charge card are limited to a travel advance of the daily allowance for meals and incidental expenses (M&IE) covered by the per diem rate or the actual subsistence allowance for the temporary duty location (either domestic or foreign) *and other cash expenses that are expected to be incurred that cannot be charged on the card*, except as provided in 301-10.3(c) below. Travelers shall charge common carrier transportation, lodging, meals (where possible), rental of automobiles, and gasoline and other automobile expenses on the contractor-issued Government charge card.

(3) Maximum Advances. The maximum amount that may be approved for a travel advance, including any advance currently outstanding is:

(i) \$5,000 for routine domestic temporary duty travel,

(ii) \$7,500 for foreign travel or relocation travel and

(iii) \$1,000 for cash travel advances from an imprest fund *without written approval from the bureau finance officer*.

Cash advances requested from the imprest fund which exceed \$1,000 must be approved by the bureau finance officer or designee. The CD-369, Travel Advance, and a justification statement must be submitted to the bureau finance officer or designee for consideration and approval.

301-10.3(c) Exceptions to travel advance limitation.

(1) Authorized exceptions. The limitation provided in 301-10.3(b) above may be increased under the following circumstances. By signing the advance, the approving officer has indicated that he/she has reviewed the amount and that the amount is appropriate to the circumstances involved.

(i) When allowable expenses that are not chargeable on the contractor-issued Government charge card are expected to significantly exceed the daily allowance for meals and incidental expenses (M&IE), the approving officer may approve an advance in excess of the locality M&IE.

(ii) When the travel advance is issued in the form of travelers checks and the advance is rounded up to the nearest multiple of \$50, the amount of the travel advance may exceed the Locality M&IE.

(2) Bureau discretion. A new employee, an infrequent traveler, or an employee to whom the bureau has decided not to offer the contractor-issued Government travel charge card may be authorized an increased travel advance. A good rule to follow in estimating expenses is to multiply the number of full days of the trip times the per diem rate and add taxi fares, car rental and other anticipated expenses.

(3) Amount allowed. Travel advances under the exceptions in (1) and (2) above are limited to 80% of the estimated cash expenses unless a determination is made by the approving officer that the 80% limitation will result in a financial hardship on the employee. In a case of financial hardship, the approving officer may approve up to 100% of the estimated expenses, *(not including transportation billed directly to the Government)*, for in individual trip or for an open travel authorization not to exceed a 45-day period. In no case shall a travel advance exceed 100% of the estimated expenses. By signing the advance, the approving officer has indicated that he/she has reviewed the amount and that the amount is appropriate to the circumstances involved.

(4) Exception precluded. Employees who have been offered the contractor-issued Government charge card and elected not to accept the card, or who have had their cards suspended or revoked because of delinquent payments, are subject to the same travel advance limitations as employees who have been issued the charge card. (See 301-10.3(b) above.)

(5) *Retained advance procedures. When justified by unusual circumstances involving an employee's travel, officials who have been delegated authority to authorize travel, may authorize an employee to obtain and retain a travel advance. Those employees who have been issued the contractor-issued Government travel charge card, but are in a constant travel status and may have difficulty making timely payments to the contractor may also be considered for authorization to obtain and retain travel advances if they have received approval from their bureau's finance officer.* In such cases, the amount of the travel advance will not be deducted from the amounts of the employee's travel vouchers until the date or point in time specified by the authorizing official. For example, an employee may be authorized to retain a travel advance until a specific travel assignment has been completed. Under these circumstances,

the advance would not be deducted from the amounts of the employee's travel vouchers until the estimated completion date for the travel (per the travel order). However, a "Travel Advance Repayment Notice" will be issued if the *payment office* determines that the retained advance is excessive. (Refer to the NOAA Administrative Payments Manual, Chapter 1, Part 1, for guidance.)

301-10.3(d) Control and recovery of advances. Funds advanced to employees for travel expenses must be used for official travel only or promptly repaid. The *bureaus' servicing payment offices* maintain a record of each employee's travel advance account, and will apply strict collection procedures if too much money is being held, or if an advance has been held too long. these procedures are specified in the NOAA Administrative Payments Manual, Chapter 1, Part 1. (Also see CTR 305-2.2.) there are no provisions for repayment of an outstanding travel advance on an installment basis.

(1) Deduction from vouchers. *Bureau approving officials shall ensure that the amount previously advanced is deducted from the total expenses allowed or that it is otherwise recovered, except for those employees who have been authorized to retain a travel advance as provided in 301-10.3(c) (5) above.*

(2) Direct refunds. At the time the traveler files the reimbursement voucher, if the travel advance granted was larger than the reimbursement due, the traveler must send a check for the balance (payable to the Department of Commerce) along with the travel voucher to the appropriate payment office.

(3) Other means of recovery. Employees maintaining an excessive travel advance balance will be assessed a \$15 administrative charge when:

(i) a travel advance amount is not repaid or accounted for and is kept outstanding beyond the specified time period provided in the notice sent to an employee; and

(ii) an administrative offset against the employee's salary payment(s) is used to collect the excessive amount.

Form CD-369, Travel Advance, contains a "Notice of Intent" which also advises employees of this policy.

301-10.5 Gifts and Bequests.

(a) Acceptance of Expenses. *The acceptance of a travel gift from a non-Federal source must be approved by the appropriate

bureau official prior to the beginning of travel. A form CD-210, Record of Gift or Bequest, must also be completed and approved prior to the initiation of travel when a travel gift is involved. All information requested on the form must be completed. All travel gifts received from a non-Federal source for travel, subsistence, and related expenses which totals more than \$250 per event must be reported on the form CD-210 and submitted semiannually to the Office of the General Counsel (OGC) for submission to the Office of Government Ethics. In addition to the CD-210, the form CD-538, Acceptance of Payment from a NonFederal Source for Travel Expenses, shall be prepared for each payment and submitted to OGC. (See Department Administrative Order 203-9; Chapter 304, Part 304-1 of the Federal Travel Regulations; and CTR 301-1.102(b) (4) for additional policy and guidance on the acceptance of expenses from non-Government sources.)*

(b) Per Diem or Subsistence Expenses. The traveler should be aware of the effect of the method a donor may use in offering gifts and bequests:

(1) Donor reimburses the Department for subsistence expenses. The traveler must submit a travel voucher claiming all expenses incurred. However, the donor is reimbursing the Department and not the employee and, therefore, the employee is subject to the daily limitations for subsistence expenses as set forth in this Handbook. *However, when the non-Federal source makes full payment in excess of these limitations for reimbursable subsistence expenses or common carrier transportation expenses incurred, reimbursement to the employee shall be the amount of the payment from the non-Federal source. In this case, the employee must submit, along with his/her travel voucher, documentation verifying that the sponsor has reimbursed the Department for the entire amount. Reimbursement to the employee for expenses in excess of regulatory limitations shall not, in any case, exceed the amount of expenses incurred.*

(2) Donation of services in-kind. Services in-kind may be accepted from a donor organization, even if the value of the in-kind donation exceeds the subsistence rate. However, accepting lavish in-kind donations significantly in excess of expenses which the traveler would normally have incurred should be avoided. In this case, the traveler's per diem or actual subsistence expense rate shall be reduced or eliminated as appropriate. (See FTR *301-7.12*.)

*Employees shall obtain receipts from the donor for all travel gifts received (except meals), e.g., a hotel bill or copy of an airline ticket, whether paid by check or in-kind as

evidence of the nature and correct value of travel gifts received. As further documentary evidence, employees are also required to complete and file a travel voucher after a trip that involves a travel gift even if the trip involved no cost to the Department.*

10-10

June 1997 (TM 15)

EXHIBIT 301-10A

POLICY AND PROCEDURES FOR THE USE OF THE CONTRACTOR-ISSUED
GOVERNMENT TRAVEL CHARGE CARD

A. Policy.

The use of the contractor-issued Government travel charge card is limited to expenses incurred incident to officially authorized Government travel. Use of the card at *or in the vicinity of the official duty station or residence* is strictly forbidden unless its use is in connection with officially ordered travel. Personal and family member use of the card and *purchases made in retail stores is also strictly forbidden.* However, common or shared services or facilities (i.e., rooms, meals, etc.) with family members or business associates may be charged to the card while on official business. This does not apply to common carrier transportation tickets. Only your official portion of the charged expense may be claimed on the travel voucher.

Possession and use of the card does not relieve the employee from observing rules and regulations governing official travel, including use of Government city-pair contract carriers, American-Flag carriers, or Travel Management Centers (authorized travel agents under contract with the General Services Administration).

Neither bureau managers, charge card coordinators, nor any other bureau officials have the authority to override the contractor's corporate policy regarding suspension or cancellation of employee accounts.

B. Responsibilities.

The following offices and individuals have direct responsibilities for monitoring the use of the contractor-issued Government travel charge card:

I. * Office of Executive Budgeting and Assistance Management, Office of Executive Assistance Management. The Office of Executive Assistance Management* will:

- (a) Issue and interpret Departmental policy and procedures on the use of the charge card.
- (b) Conduct periodic on-site reviews of the bureaus' oversight of charge card activities including a review of bureau written procedures and files maintained by the charge card coordinator.

(c) Monitor the bureaus' compliance with guidelines in disciplining employees who abuse their charge card privileges.

2. Departmental bureau and operating unit officials. *Appropriate officials* in Departmental bureaus and operating units will:

(a) Develop internal written bureau/operating unit procedures that will establish guidelines for the appropriate bureau/operating unit managers to follow in monitoring the use of the charge card by cardholders to ensure appropriateness of expenditures and the timeliness of payments. Bureau/operating unit officials will be responsible for determining the appropriate managers that will be delegated this authority and providing the coordinator with the name(s) of the manager(s).

(b) Designate an employee *and an alternate* to act as the bureau's/operating unit's charge card coordinators who will administer the Government charge card program for the bureau/operating unit.

(c) Determine which employees are eligible to be issued the card *and sign (or designate the employee's immediate supervisor) to sign the certification block on the Employee Acknowledgement Statement (Appendix B to this Exhibit).*

(d) Notify the employee's immediate supervisor of any questionable or inappropriate charges and/or delinquencies of 60 days or more in the payment of accounts.

3. *Employee's immediate supervisor. The employee's immediate supervisor will:*

(a) *Notify the employee of any questionable or inappropriate charges and/or delinquencies and give the employee the opportunity to explain the charge or delinquency. A record shall be maintained of the notification and the explanation received from the employee.*

(b) Take the appropriate disciplinary action if the explanation is inadequate. The supervisor shall contact the bureau's/operating unit's servicing personnel office for a determination of the appropriate disciplinary action that shall be taken. At the discretion of the supervisor, the card may be revoked at this time.

(c) Revoke the card if there is a second instance of inappropriate use or insufficient explanation for the delinquency. Appropriate disciplinary action, as recommended by the servicing personnel office, shall also be taken.

(d) Provide the bureau charge card coordinator with the card for cancellation when it has been revoked because of inappropriate use or delinquency.

(e) Notify the bureau charge card coordinator when an employee is transferring between offices within a bureau/ operating unit or between bureaus/operating units within the Department.

(f) Retrieve the charge card from the employee and return it to the bureau charge card coordinator for cancellation when an employee leaves, retires or transfers to another Government agency.

(g) Assure that the appropriate bureau official signs the designated box on the CD-126, Clearance of Employee Accountability, (or equivalent form) when the employee leaves the Department.

4. Bureau charge card coordinators. The bureau/operating unit employee *and alternate* who has been designated by *the appropriate official in their bureau/operating unit* to act as charge card coordinators and to administer the charge card program for their respective bureau/operating unit will:

(a) Provide the contractor/card issuer with the *names of the coordinator and alternate,* bureau/operating unit, mailing address and telephone number. Also, provide this information to the Departmental Coordinator, *Office of Executive Assistance Management, Office of Executive Budgeting and Assistance Management*

(b) Provide eligible employees requesting a card with a copy of this Exhibit along with an application form.

(c) Ensure completeness of employee information on the employee card account application, that the employee has completed and signed the Employee Acknowledgement Statement included as Appendix B to this Exhibit, *and that the approving official/supervisor has also signed the Acknowledgement Statement*

(d) Complete sections designated for agency information and authorization on the employee card account application. (Refer to Appendix A of this Exhibit.)

(e) Forward the original of the application to the contractor and distribute the copies as designated.

(f) Maintain a central file of the signed Employee acknowledgement Statements along with a copy of the employee's application for all employees who are current cardholders.

(g) Monitor the monthly charges and delinquency reports and notify the appropriate bureau manager(s), *employee's immediate supervisor, or the employee, in accordance with established bureau/operating unit procedures*, of possible misuse or delinquencies of 60 days or more.

(h) Maintain monthly charge and delinquency reports for a one-year* period before they are destroyed.

(i) Return the card (cut in half) to the contractor for cancellation when notified that an employee's card has been evoked by the supervisor because of inappropriate use or delinquency.

(j) Notify the contractor when an employee transfers between offices within a bureau or between bureaus within the department.

(k) Return the card (cut in half) to the contractor for cancellation when an employee leaves, retires or transfers to another Government agency.

5. Employees. Employees who have been issued the charge card will:

(a) Complete the employee information on the charge card account application and sign the application.

(b) Complete and sign the Employee Acknowledgement statement (Appendix B of this Exhibit) acknowledging that they have received, read, and understand these policies and procedures related to the use of the contractor-issued travel charge card which states that the card shall be used only while on official travel and not for personal use or use at *or in the vicinity of the official duty station or residence* unless the use is related to approved official travel:
Obtain the signature of the approving official or immediate supervisor on the Employee Acknowledgement Statement.

(c) Forward the above two documents to their bureau/operating unit charge card coordinator for processing. If the coordinator is unknown, call the Departmental Coordinator, *Office of Executive Assistance Management, (202) 482-1818-.

(d) Observe the following guidelines regarding the security of the card:

(1) Exercise the same care and responsibility for the security of the card and number as he/she would with a personal charge card. The card will be sent to the employee's home address. Employees should be aware that the card is mailed in an envelope that does not indicate that the contractor/card issuer is the sender.

(2) Exercise security of the card by not allowing *a secretary,* administrative or executive officer, or supervisor to store or keep the card.

(3) Exercise caution and care in giving the card number to another employee to make travel arrangements on their behalf and when giving signature-on-file authorizations (see Appendix C of this Exhibit) to *Travel Management Centers (TMC) (authorized travel agents under contract with the General Services Administration).*

(4) Black out all but the first four numbers of the charge card number from any receipts submitted with their travel voucher.

(e) Obtain cash advances from automatic teller machines (ATMs) in lieu of receiving cash advances from the imprest fund. Cardholders will be issued Personal Identification Numbers (PIN) by the contractor. If an employee does not receive a PIN, does not remember the PIN, or wishes to change the PIN, he/she should call 1-800-CASH NOW (1-800-227-4669). Initially, employees are limited to a weekly withdrawal of \$500. However, on a case-by-case basis, that amount can be increased. Employees who require an increase must contact their bureau charge card coordinator to request an increase. Cardholders will be charged an ATM fee which is reimbursable as a miscellaneous expense on the travel voucher. Under unusual circumstances, cardholders who are in a constant travel status and may have difficulty making timely payments to the contractor may be considered for authorization to obtain and retain travel advances through their payment office. Requests for consideration shall be made through the employee's bureau finance officer.

(f) Comply with the following guidelines and procedures regarding the payment of the monthly charge card bills:

(1) A monthly billing statement from the contractor/card issuer will be sent to either the home or *office address, as specified on the application.* A statement will be issued when expenditures are incurred or when a credit is posted to the account. If a statement is not received, the employee

should contact *American Express at 1-800-492-4922 in the continental United States or outside the United States, call collect, 602-492-4922.*

(2) Payment, in full, is due to the contractor on or before the next statement billing date. This will allow the employee approximately 25 days from the statement date to remit the amount due. The employee is personally liable for all charges which have been incurred, regardless of whether they exceed the amount reimbursable under Department travel regulations.

(3) Conform with Employee Responsibilities and Conduct, 15 CFR 0.735-16, which requires Department of Commerce employees to pay each just financial obligation in a proper and timely manner. Corrective actions (cancellation of the card and/or disciplinary action) may be taken by the employee's supervisor if the employee fails to pay the bill in a proper and timely manner. The Department of Commerce Employee Handbook indicates penalty guidelines ranging from written reprimand to removal for violation of this conduct standard.

(4) If the charge card bill contains a disputed charge, it is the employee's responsibility to contact the *contractor (American Express) at 1-800-492-4922 in the continental United States or outside the United States, call collect, 602-492-4922.* The contractor will need to know the following:

- Employee's name and account number
- Reference number of the disputed charges
- Establishment where charge was incurred
- Amount of charge
- Statement date

With this information, research can generally be conducted within few days to resolve the problem.

(g) his/her bureau charge card coordinator(s) when he/she is transferring between offices within a bureau/operating unit or between bureaus/operating units within the Department. This notification is necessary in order for internal management reports and mailing addresses to be kept current.

(h) Return the card, cut in half, to his/her supervisor or the bureau/operating unit charge card coordinator for cancellation when leaving, retiring, or transferring to another Government agency. If the coordinator is unknown, call the Departmental Coordinator, *Office of Executive Assistance Management*, on (202) 482-1818.

6. The contractor/card issuer. The contractor/card issuer will:

(a) Issue a charge card in the name of the employee upon receipt of a properly authorized application.

(b) Mail the charge card directly to the employee's home address within three (3) working days of receipt of the application from the coordinator.

(c) *Mail monthly billing statements to the employee's home or office address, as specified on the card application, when expenditures are incurred or when a credit is posted to the account.*

(d) Prepare and forward monthly reports (account activity, delinquency, *suspension, cancellation*, or other special reports as requested by the bureau) to the bureau/ operating unit charge card coordinator.

(e) Notify the bureau/operating unit charge card coordinator before *suspending or* cancelling an employee's card because of nonpayment of his/her account.

(f) Send suspension notices to cardholders who are 90 days past due to advise them that if their account remains seriously delinquent and is subsequently cancelled, that their account may be reported to the national credit bureaus.

(g) Notify cardholders who are currently 120 days or more past due and whose accounts have been cancelled that their accounts may be reported to the national credit bureaus unless the employee remits payment for the past due balances within a 45-day grace period.

*(h) Cancel the charge card immediately upon notification from charge card coordinators for those employees who have retired, left the Department, or whose card has been revoked by a supervisor. *

2. Card Issuance Procedures.

1. Application Guidelines. Employees who meet one or more of the following criteria should apply for the card:

(a) Are expected to make two or more trips per year;

(b) Are stationed in a field location with limited or no access to Travel Management Centers (travel agents under contract)

with the General Services Administration) and/or imprest funds; or

(c) Are required to perform emergency travel on short notice and may be notified during off-duty hours.

2. Card Renewal. The card is valid for a two-year period from date of issuance. At that time, the contractor/card issuer will automatically renew the card unless the employee is delinquent in the payment of his/her account or the bureau manager determines that the employee no longer needs the card.

D. Procedures.

1. Authorization, Advances, and Vouchers.

(a) All official travel must be authorized on Form CD-29, Travel Order. In order to obtain common carrier transportation at the Government discount fare, a copy of the approved travel order must be presented to the ticketing agent at the time payment is made for the ticket.

(b) *It is mandatory that cardholders use the charge card to obtain cash advances from automatic teller machines (ATMs) instead of receiving cash advances from the imprest fund, unless the employee is in a constant travel status and has been authorized by their bureau's finance officer to obtain and retain travel advances through their payment office. Cash advances should be limited to the meals and incidental expense rate (M&IE) for the location of the temporary duty location and other cash expenses that are expected to be incurred that cannot be charged. It is assumed that travelers will normally be able to charge common carrier transportation, lodging, meals (where possible) rental of automobiles, and gasoline and other automobile related expenses on the contractor-issued Government charge card.*

(c) An employee may use his/her charge card to obtain common carrier tickets from the airlines or Travel Management Centers (TMC). If the employee does not personally pick up the tickets and present his/her charge card, he/she shall complete a signature-on-file form (Appendix C to this Exhibit) to authorize the airlines/TMC to charge the transportation to his/her charge card. Charging tickets more than a week in advance should be avoided unless it is necessary to obtain a discount fare. Otherwise, a situation may develop where an employee receives his/her charge card bill for the ticket prior to receiving a reimbursement check for the travel.

(d) Department policy requires the employee to submit a properly prepared and approved CD-370, Travel Voucher, to the

designated payment *office* within five (5) working days after the completion of travel. For common carrier transportation plane, bus, train), the original passenger ticket coupon must be attached to the travel voucher. The cost of common carrier services will be itemized on the back of the travel voucher (Line 5, Common Carrier). Claims for common carrier transportation must be limited to the amount of airfare used and should not include any unused portion of the ticket. Adherence to this policy will ensure that the employee receives reimbursement from the Department in sufficient time to pay the charge card bill.

2. Unused Tickets.

(a) If a transportation ticket purchased with the *employee's individual contractor-issued Government travel* charge card is completely unused, the ticket and passenger coupon should be returned to the TMC or airline representative by the employee and a refund credit receipt should be obtained. This receipt should be retained until the appropriate credit is issued on a subsequent billing statement. The employee shall not submit his/her unused ticket *purchased with his/her individual charge card to the bureau payment office* with the travel voucher.

(b) If a transportation ticket *purchased with the employee's individual contractor-issued Government travel charge card* is partially used, the unused tickets and passenger coupon shall be returned to the TMC or airline representative by the employee and a "refund credit receipt" should be obtained. Copies of the passenger coupon (if available) and the "refund draft" issued by the transportation company representative along with the charge and "refund credit receipt" slips must be submitted with the travel voucher in order to obtain reimbursement for the cost of the partially used ticket.

(c) Transportation tickets purchased on the Government Travel Account (GTA), a centrally billed account established with the travel charge card contractor and a Travel Management Center (TMC), shall be returned to the appropriate bureau payment office to obtain a credit to the employee's appropriation code which was charged with the original ticket.

(d) If the transportation charge appears on the charge card statement, but the credit does not, immediate credit can be received in the following way:

- i. Subtract the amount of the credit from your payment.

ii. Send a copy of the refund credit receipt with the payment to *the contractor/card issuer*.

iii. The contractor/card issuer will monitor the account and take whatever steps are necessary to obtain the credit. The cardholder will be advised of the final resolution.

3. Lost Tickets.

(a) Most carriers will attempt to reissue a ticket according to their individual procedures. Employees should explain their ticket loss to the ticket agent and request a replacement ticket. Most carriers will comply if boarding passes have not already been issued against the lost ticket and if the employee can produce proper identification and a copy of his/her travel orders. However, if a replacement ticket cannot be provided, the employee will need to purchase a new ticket *using their individual contractor-issued Government travel charge card* and file a Lost Ticket Application immediately with the office location where the original ticket was purchased.

(b) To obtain a credit on the charge card statement, a copy of the Lost Ticket Application should be submitted following the procedure in 2(d) above.

(c) If the original ticket was partially used, a copy of the Lost Ticket Application should be submitted with the travel voucher, along with the charge slip. Employees may be personally responsible for the cost of the lost tickets and for any Lost Ticket Application service charges.

*4. Charges Made in Foreign Countries.

Charges made in foreign currency will be converted into U.S. dollars. The conversion rate used will be at least as favorable as an interbank rate, a tourist rate or, where required by law, an official rate, which is in existence within twenty-four (24) hours of the time that the charge is processed by the contractor/card issuer or by their authorized agent. Amounts converted by common carriers such as airlines will be billed at rates the carriers use.*

E. Lost or Stolen Cards.

(a) *Report lost or stolen contractor-issued Government travel charge cards immediately to the contractor, even if the card number is not known. Call toll-free, 1-800-492-4922, 24 hours a day and ask for "American Express lost or stolen cards" From overseas call collect at (602) 492-4922.*

(b) The employee is not liable for any fraudulent charges if the card is lost or stolen provided they promptly notify the contractor/card issuer. The employee may be required to review any charges considered fraudulent and sign an affidavit of forgery stating he/she did not make the charges. All charges will be the employee's responsibility should he/she refuse to sign the affidavit.

(c) *A replacement charge card will be issued within 24 hours of notification, if the card has been lost or stolen in the United States, and within 48 hours of notification abroad. The card will be mailed to the cardholders billing address and should arrive in 7-10 days after the loss has been reported. If the employee is traveling and needs a card replaced immediately, a temporary Emergency Replacement Card can be issued. The contractor will work with the employee to identify the best replacement option. The Emergency Replacement Card is valid for a maximum of 30 days and can be used by the cardholder until the new, permanent card is received.*

F. Employee Rights.

Under the terms of its contract with the General Services Administration, the contractor/card issuer may not:

- (a) Establish preset expenditure limits.
- (b) Conduct credit checks on employees designated to receive Government charge cards.
- (c) Release credit information to other than authorized employing agency officials or the individual cardholder.
- (d) Sell or otherwise provide employee names or addresses to other commercial interests.
- (e) Charge membership, interest, or late payment fees.
- (f) Include commercial advertisements or other forms of solicitation with monthly billing statements.
- (g) Issue or cancel employees' cards without notifying the authorized bureau official.
- (h) Hold employees liable for any charges made with lost or stolen cards, provided the employee notifies the contractor/card issuer promptly upon discovering that his/her card has been lost or stolen and signs an affidavit, if required by the contractor/card issuer, stating he/she did not make the charges.

EXHIBIT 301-10B

EXEMPTION PROCEDURES FOR THE USE OF CASH TO PROCURE OFFICIAL PASSENGER TRANSPORTATION SERVICES IN EXCESS OF \$100

1. When a Government traveler does not use a Government Transportation Request (GTR), individual contractor-issued Government travel charge card, or centrally billed Government Travel Account (GTA), Secretarial Officers/Heads of Operating Units, or their designee, may, in limited instances, authorize travelers to exceed the \$100 limitation when procuring passenger transportation services.

2. The authority to approve the use of cash exceeding \$100 may be redelegated. The redelegation shall be held to as high an administrative level as practicable to ensure adequate consideration and review of the circumstances. Any redelegations of authority shall be in writing and copies provided to the payment offices serving your bureau.

3. Requests may only be for an individual travel itinerary, must fully explain why the exemption should be granted, and shall include copies of the travel order, travel voucher, passenger ticket coupons, and any ticket refund applications or related documents associated with the travel in question. Traveler convenience will not be cause for approval.

4. The following guidelines shall be followed for the approval of cash purchases in excess of \$100:

(a) Under Emergency Circumstances.

(1) A traveler's action and justification to exceed the \$100 cash limitation may be approved under emergency circumstances where (1) the use of a GTR, GTA or contractor-issued Government travel charge card was not possible to purchase passenger transportation services in excess of \$100, or (2) failure to advise a new employee and/or invited or infrequent traveler of proper procedures for purchasing transportation services.

(2) The transportation services procured by the traveler shall be purchased in accordance with all other applicable policies and procedures. The traveler shall be responsible for all additional costs involved for this travel (i.e., more costly modes, use of foreign-flag carriers, or extra-fare accommodations) unless otherwise approved.

(3) Whenever possible, only a one-way ticket should be obtained under the emergency conditions. Tickets for return

trips, if applicable, should be obtained for the traveler through a GTR, or GTA.

(b) Under Nonemergency Circumstances.

(1) Where an acceptable method was available to procure transportation services, but cash exceeding \$100 was used under nonemergency circumstances instead, the traveler's action and justification may be approved.

(2) If a cash purchase is determined to have been made under nonemergency circumstances, reimbursement shall not exceed the cost which would have been properly chargeable to the Government if the transportation services had been procured using one of the Government-provided methods of procurement.

(3) Before a request is approved, a determination will be made on whether the request warrants approval. The circumstances involved for each case will be thoroughly reviewed. Facts which will be considered are:

(i) Does the traveler perform frequent temporary duty travel?

(ii) Was the traveler in a position to be aware of the regulation on the prohibition of the use of cash?

(iii) Was the purchase of transportation with cash primarily for the traveler's convenience?

(4) If an employee makes a cash purchase without just cause or deliberately attempts to circumvent use of GSA air or rail service programs (contract-carriers) for personal convenience or some other reason not consistent with sound travel management practices, Secretarial Officers/Heads of Operating Units, or their designees, may, as provided in 31 U.S.C. 3702, send all documents related to the travel to the Comptroller General, General Accounting Office, Claims Section, Washington, D.C. 20548, for a decision on the traveler's right to reimbursement.

(5) Employees have the right to appeal to the General Accounting Office (GAO) the decision not to process their claim. The procedures regarding submission of claims is contained in Section 6 of Title 4 of the GAO Manual (4 GAO 6). All correspondence with GAO relating to appeals will be handled through the bureau. The bureau should also follow the requirements of 4 GAO 8 regarding submission of an administrative report.

A traveler who uses cash to purchase individual passenger transportation services shall procure such service directly from the carrier or from a Travel Management Center, a travel agent under contract with GSA, and shall account for those expenses on their travel vouchers, furnishing passenger coupons or other evidence in support of the claim.

6. To justify the use of cash in excess of \$100 when procuring the transportation services, both the authorizing official (or designated representative) and the traveler shall certify on the travel voucher the necessity for such use.

7. If the cost of the transportation was disallowed from the employee's original travel voucher, the traveler must submit a reclaim voucher and the voucher difference statement to the bureau payment office which disallowed the original claim in order to obtain reimbursement of the amount approved.

8. After a traveler has been reimbursed for a cash purchase, copies of travel orders, ticket coupons, and any ticket refund applications, or SF-1170s, Redemption of Unused Tickets, shall be forwarded for audit by the payment office to the General Services Administration, Transportation Audit Division (FWA), Attention: Code E, Washington, DC 20405.

9. The bureau payment office shall maintain travel vouchers and make them available for site audit by GSA auditors. Refer to General Records Schedule 9, Travel and Transportation Records, for instructions on the disposal of travel vouchers.

PART 301-11--CLAIMS FOR REIMBURSEMENT

301-11.4 Submission of voucher.

Travel reimbursement vouchers must be submitted within 5 working days after completion of travel. Those employees on extended duty travel should submit a voucher immediately following each 30-day travel period. Employees involved in a transfer of station move should submit their voucher after completion of each phase of the move. Employees should refer to the Administrative Payments Manual (APM), Chapter 2, Section 2, for preparation and submission of travel vouchers. Travel vouchers may not be paid through the imprest fund (see APM, Page 2-2-5, Paragraph G.)

Local travel expenses, in and around the official duty station, should be reimbursed through an imprest fund by submitting an approved Form SF-1164, Claim for Reimbursement for Expenditures on Official Business. (See CTR 301-1.5(b)(6) for a definition of local travel.) If an official duty station does not have an imprest fund available to make local travel reimbursement, the claim may be submitted on a travel voucher, to the applicable payment center. The travel voucher must be prepared in accordance with the requirements of the APM and a travel order must be attached, if not previously submitted. To be cost effective, vouchers for recurring local travel should be submitted on a monthly basis or more often if the amount of the claim exceeds \$25. In these situations, a limited open travel order should be issued.

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PART 302-S--SUBSISTENCE WHILE OCCUPYING TEMPORARY QUARTERS

302-S.1. Policy.

An administrative determination as to whether the occupancy of temporary quarters is necessary and the length of time for occupancy shall be made on a case-by-case basis. As a general rule, the period for temporary quarters shall be reduced or avoided if a househunting trip has been made, or if, as a result of extended temporary duty at the new official station, the employee has had adequate opportunity to complete arrangements for permanent quarters. The authorization for temporary quarters and the length of time for occupancy shall be authorized in advance on the CD-29, Travel Order. All breaks in temporary quarters occupancy must be explained on the travel voucher or on the CD-372, Expense Record for Temporary Quarters.

302-5.2. Conditions And limitations for eligibility.

(a) Length of time allowed and location of new official station.

(1) Initial period of temporary quarters. *All employees, including those accepting home sale services provided by a relocation contractor, for whom temporary quarters have been authorized shall be allowed subsistence expenses for themselves and each member of their immediate family for a period of not more than 60 consecutive days.*

(2) Additional time in certain cases. The travel order must be amended to indicate all extensions of time in temporary quarters. Authorizations to extend temporary quarters and the number of days authorized shall be held to a minimum. *Temporary quarters in excess of 60 days must be approved At a higher level than the travel order authorizing officer. The total period of time in temporary quarters shall not exceed 120 days under any circumstances.* Additional time can only be authorized in circumstances where there are compelling reasons beyond the employee's control.

(i) Reasons not acceptable. Generally, the following are NOT considered compelling reasons:

(A) Poor housing market (as opposed to inadequate housing conditions).

(B) General economic conditions of the old or new official duty station.

(C) Personal financial concerns of the employee, e.g., a desire to receive a reimbursement or capital gain in a different tax year.

(D) Inability, for whatever reason, to sell residence.

(d) Temporary quarters located at other than official station. Justification for allowing payment of temporary quarters subsistence expenses at other than the old and/or new official station must be shown on the travel order.

302-S.4 Allowable amount.

(a) Actual expenses allowed. Approving officials are responsible for determining the reasonableness of amounts claimed. Employees occupying temporary quarters are expected to exercise the same care in incurring expenses that a prudent person would exercise if traveling on personal business.

(b) Itemization and receipts. The actual expenses incurred while occupying temporary quarters shall be itemized on Form CD-372, Expense Record for Temporary Quarters (see Exhibit 302-5A). The CD-372 must be attached to the CD-370, Travel Voucher, to support the temporary quarters expenses being claimed. Receipts are required for all lodging expenses and for laundry and cleaning expenses, except when coin-operated facilities are used. (See CTR 302-5.4(c) for requirements for receipts for meals or groceries consumed while occupying temporary quarters.)

If employees obtain temporary lodgings with friends/relatives the details (date and locations) must be shown on the CD-372, whether or not payment is made. If payment of rent is made to friends/relatives, the amount must be reasonable. It must be directly related to the actual additional costs incurred by the friend/relative providing lodgings to the employee, and be considerably less than commercial rates. What is reasonable depends on the circumstances. Factors to be considered include the number of individuals staying with the friend/relative, whether the friend/relative hired extra help, and any extra work performed by the friend/relative. The burden is on the employee to supply the necessary information. It is not sufficient to show merely that the amount claimed is less than commercial rate or the maximum allowable.

(c) Maximum reimbursement. The maximum which may be reimbursed for temporary quarters subsistence expenses shall be the actual amount of allowable expenses incurred for each 30-day period or portion of the 30-day period that temporary quarters were occupied. The actual amount should not exceed the maximum amount based on the applicable daily rate prescribed, multiplied by the number of days that temporary quarters were occupied. Expenses will be allowed to the extent they are determined to be reasonable.

The cost of meals and incidental expenses will be considered reasonable if the total cost does not exceed 45% of the prescribed maximum subsistence amount for each 30-day period or portion of the 30-day period that temporary quarters were occupied. In such cases, receipts for meals or groceries are not required. Under unusual circumstances, a total cost in excess of 45% may be allowed if adequate justification is submitted by the employee. However, the employee's claim must show which meals were taken in temporary quarters and which in restaurants and include receipts for groceries and restaurant meals. The justification must also include evidence of the reasonable cost of groceries purchased in the location of the temporary quarters and evidence of the reasonable cost of restaurant meals in the location of the temporary quarters.

March 1992 (TM 9)

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PART 302-8--TRANSPORTATION AND TEMPORARY STORAGE OF HOUSEHOLD
GOODS AND PROFESSIONAL BOOKS, PAPERS, AND EQUIPMENT

302-8.2. General limitations.

(f) Loss and damage liability. Operating unit claims officers have the authority to process claims and submit vouchers for payment. All claims equal to or exceeding \$5,000 shall be forwarded to the Department's Assistant General Counsel for Administration for final review. Upon notification of the Office of General Counsel's approval, the claims officer will submit a voucher for payment.

(1) Filing claims with the carrier. In case of lost or damaged household goods, the employee must first file a claim with the carrier. This can be accomplished by contacting the delivering carrier to acquire claim forms and a visit from the carrier's representative to inspect and verify loss or damage. The employee should also mail a follow-up letter to the carrier to this effect. If loss or damage is observed as the carrier unloads and unpacks, the letter must be postmarked within 5 working days after delivery of the employee's household goods. If loss or damage is discovered by the employee while doing unpacking or after the carrier has completed delivery, the letter must be postmarked within 15 calendar days after the delivery of the household goods. The claim forms should be sent to the carrier by certified mail, return receipt requested.

If shipment was made under a Government Bill of Lading (GBL) method, the carrier is required to acknowledge claims within 10 days after receipt. If shipment was made under the commuted rate system, the carrier is required to acknowledge claims within 30 days after receipt. The carrier is required to pay, decline, or offer a compromise settlement within 120 days after receipt unless there are reasons beyond its control which prevent settlement.

(2) Filing claims with the Government. In the event of unsatisfactory settlement with the carrier, the employee can file a claim with the Government under the Military Personnel and Civilian Employee's Claims Act of 1964 (31 U.S.C. 3721). The employee should complete Form CD-224, Employee Claim for Loss of or Damage to Personal Property (Exhibit 302-8A). A sample of a properly completed Form CD-224 is attached (Exhibit 302-8B).

Employees should follow the procedures established in DAO 203-17 for filing claims. Employees should also refer to the General Services Administration (GSA) pamphlet entitled "Shipping Your Household Goods" for further information on filing claims.

PART 302-11--RELOCATION INCOME TAX (R/T) ALLOWANCE

302-11.2 Coverage.

(a) Eligible employees. Employees transferred in the interest of the Government are eligible for the RIT Allowance (RITA) including employees assigned under an IPA agreement (5 USC 3375).

(b) Individuals not covered. The following individuals are excluded from receiving the RIT Allowance.

(1) New appointees as defined in FTR 302-1.5(e), including those covered under 302-1.5(f) (i.e., new appointees to shortage category or Senior Executive Service positions, and new Presidential appointees) and 302-1.5(g)(2) (i.e., new appointees to overseas posts of duty);

(2) Employees assigned under the Government Employees Training Act (5 U.S.C. 4109);

(3) Employees returning from overseas assignments for the purpose of separation; and

(4) Foreign Service Officers and members of the National Oceanic and Atmospheric Administration (NOAA) Corps.

302-11.3 Types of moving expenses or allowances covered and general limitations.

The RIT Allowance is limited by law as to the types of moving expenses that can be covered. The law authorizes reimbursement of additional income taxes resulting from certain moving expenses furnished in-kind or for which reimbursement or an allowance is provided to the transferred employee by the Government. However, such moving expenses are covered by the RITA only to the extent that they (1) are actually paid or incurred, and (2) are not allowable as a moving expense deduction on the employee's Federal income tax return. The types of expenses or allowances listed below are covered by the RITA. (See, FTR 302-11.3 for general and specific limitations.)

- (a) En route travel;
- (b) Household goods shipments including temporary storage;
- (c) Househunting trip;
- (d) Temporary quarters;
- (e) Real estate and unexpired lease allowances;
- (f) Nontemporary storage expenses;
- (g) Mobile home movements;
- (h) Miscellaneous expenses.

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Procedures in general.

Procedures for filing RITA claims in the Department are contained in Exhibits 302-11A through C.

(g) Responsibilities.

(1) Eligible employees will:

(A) Prepare the RITA Certification Statement, Worksheet, and CD-370, Travel Voucher, as shown in Exhibit 302-11B.

(B) Prepare the RITA claim prior to May 15 in the year after a Withholding Tax Allowance payment was made to the employee.

(B) Submit the completed RITA claim (Certification Statement, Worksheet, CD-370, and supporting documentation) for review and approval to the appropriate authorized approving official at the official duty station to which the employee was relocated.

(2) The approving officer will:

(A) Verify that the employee meets the eligibility (requirements.

(B) Verify the date that the employee reported to the new duty station is correctly stated on the Certification Statement.

(C) Review the employee's RITA Claim to ensure completeness of required data, including spouse's signature when applicable.

(D) Verify that the data on the RITA Certification Statement submitted by the employee appears reasonable, i.e., marital and filing status, state, city or county of residence.

(E) Indicate that a review and verification of the claim was made by signing the CD-370.

(F) Submit approved RITA claims (CD-370, Certification Statement, Worksheet, and supporting documentation) to the payment center that processed the employee's previous relocation travel vouchers.

(3) The payment center will:

(A) Compute the RITA based on the data provided by the employee on the Certification Statement and Worksheet.

(B) Enter the RITA amount on the CD-370.

(C) Process the CD-370 through the travel system.

(D) Send to the employee a copy of the RITA computation and a voucher difference statement indicating the amount of the RITA being paid.

(E) Compute the proper withholding taxes on the RITA payment and report these

amounts to the employee on Form CD-373, Change of Station Allowances and Taxes Withheld, and, by January 31 of the year following payment, on IRS Form W-2.

INSTRUCTIONS TO CLAIMANTS
HOW TO CLAIM RELOCATION INCOME TAX ALLOWANCE (RITA)

1. General description of the process.

Relocation reimbursement vouchers will continue to be filed in the usual manner during each tax year, i.e., within 5 days after each segment of the relocation is completed and after each 30-day period of temporary quarters. The payment center will continue to withhold all applicable Federal and state taxes as required when a reimbursement is processed.

As each relocation voucher is processed by the payment center, a Withholding Tax Allowance (WTA) will be calculated. This WTA will be added to the amount claimed on the voucher to offset the 20% Federal tax withholding only (not state withholding). This part of the process is automatic, requiring no change to current procedures for claiming reimbursement of relocation expenses. For your information, a notice (Form CD-373, Moving Allowance Summary) indicating the amount of the WTA paid will be prepared and sent to you. The WTA is an estimated partial payment of the Relocation Income Tax Allowance (RITA).

At the beginning of the year (between January 1 and May 15) after the tax year in which you were reimbursed for relocation expenses, you must file a claim for the RITA. The RITA calculation will apply the estimated partial (WTA) payment(s) made and result in a final determination of the amount due the employee for a specific tax year. In a few cases (where your marginal tax rate is less than 20%), the WTA, or estimated partial payment(s), may exceed the relocation income tax allowance. The excess must be repaid by you upon receipt of an administrative bill for collection from the payment center.

Claims for the RITA should be filed by May 15 of the year following the calendar year (tax year) in which the relocation voucher(s) was paid. If a claim for the RITA is not filed by the due date, action may be taken to collect the total WTA (partial) payment(s) previously made to you. This may be done by issuing an Administrative Bill for Collection or by a salary offset, if necessary. The instructions below under "Claim for Relocation Income Tax Allowance" describe the information needed to file this claim. Based on the claim submitted, the allowance will be calculated by the payment center and paid after appropriate deductions for Federal and state tax. RITA reimburses you for substantially all the additional tax liability incurred as a result of the relocation expense reimbursements received in the prior year, as well as the additional tax liability resulting from the RITA itself.

2. Claim for relocation income tax allowance.

You must file a separate claim for the Relocation Income Tax Allowance on a CD-370, Travel Voucher. This claim is to be filed at the beginning of the year following any tax year in which you are reimbursed for relocation expenses. This may require such claims to be filed for more than one year, since relocation reimbursements sometimes extend over two or three years. This claim is to be submitted through normal channels to the payment center which processed your relocation reimbursement vouchers during the preceding tax year.

Complete the travel voucher following the instructions in Exhibit 302-11B. A separate travel voucher and applicable documents must be filed for each calendar year that a reimbursement was received for a change of station move.

For all RITA claims, the attached Relocation Income Tax Allowance Certification Statement (Exhibit 302-11C) must be completed and attached to the travel voucher along with all copies of Forms W-2 (including Form W-2 for relocation, if applicable) and Schedule SE (IRS Form 1040) for self employment income (if applicable) which substantiate the income amount(s) shown in the Certification. The Worksheet for Calculation of Covered Taxable Reimbursements (Exhibit 302-11D) must be prepared each time a claim is submitted. This worksheet is completed using the information previously filed on your relocation Travel Voucher(s), CD-370; Form(s) CD-373, Moving Allowance Summary; and Form(s) CD-377, Voucher Difference Statement(s).

The payment center will calculate the RITA amount based on the data provided on the RITA Certification and Worksheet to the extent that the required supporting documentation is present. Amounts or data shown on the Certification Statement that are not supported by the required documentation will not be considered in calculating the RITA.

3. Taxes by two states or localities (FTR 302-11.8(e)(2)(iv)).

Since most non-deductible moving expense reimbursements will be taxed at the new location, the Federal Travel Regulations do not provide for a RITA related to state taxes at the old location. However, in very limited circumstances, you may be subject to state taxes by two states at your new location. This would be true if your state of residence at the new location taxes your relocation reimbursement income based on residence and the state where you formerly worked taxes this income based on where income is earned, irrespective of residency. If either of these states allows an adjustment or credit for this "double taxation," then the RITA is based on the state's tax rate where

the income tax is actually paid; otherwise the RITA is based on the sum of the tax rates for both states.

If your RITA should be based on the sum of the tax rates for both states (based on above rules), then enter data for both states on the RITA Certification Statement.

These same rules apply to localities.

4. Local marginal tax rate.

Because of the impracticality of providing or establishing a single marginal tax rate table for local income taxes, you must provide the appropriate local marginal tax rate information. The rate(s) will be determined by the payment center from the material you submit in accordance with FTR 302-11.8(e)(3) and these requirements.

Material to be submitted should include a copy of each applicable local jurisdiction's tax rate tables, schedules, and/or taxing formula.

5. Additional instructions for the claiming of RITA.

Additional instructions and references are provided with those forms necessary to file the claim. Questions concerning RITA may be directed to your payment center.

COMPLETION INSTRUCTIONS - FORM CD-370, TRAVEL VOUCHER, RITA CLAIM

Use Form CD-370, Travel Voucher - Revised 11/85.

In the top margin of the CD-370, insert the words "RITA Claim."

Specific requirements: the numbers below correspond to the circled numbers of the sample CD-370.

- 1) CD-29, Travel Order, - Enter the travel order number used on the original change of station travel order.
- 2) Purpose code - Enter "6."
- 3) Date for travel expenses
 - From - Enter reporting date at new official station or 01/01/XX of the tax year the RITA is being claimed, whichever is later.
 - Through - Enter 12/31/XX of the tax year the RITA is being claimed.
- 4) Type code - Enter "4"
- 5) Section C - Accounting classification - Enter bureau accounting classification to which the RITA is to be charged. See the original CD-29, Travel Order, which authorized the change of official station. Do not fill in claim amount.
- 6) Section D - Claims - Leave blank. (The payment center will compute amount and fill in the RITA amount.)
- 7) Claimant's signature - Sign, date, and include a telephone number where you can be reached during working hours.
- 8) Approving officer's signature - Obtain the signature of the approving officer at the official duty station to which you were relocated.
- 9) Include complete home mailing address where reimbursement check should be sent.

Remarks section on reverse of CD-370 - Enter the following statement, "RIT Allowance claimed for the calendar year 19XX. RIT Allowance Certification Statement and supporting documents are attached."

Do not include any other reimbursement claim on the RITA voucher. Securely staple the required documents to the back of the CD-370 and submit to your approving official.

DOC TRAVEL HANDBOOK
COMPLETION INSTRUCTIONS FOR CERTIFICATION STATEMENT

EXHIBIT 302-11C

General

Use this certification form when submitting a claim for the relocation income tax allowance (RITA) payment.

Attach a complete set of documents required to support the claim for payment; i.e., IRS Forms W-2 and, if applicable, completed IRS Schedule SE (Form 1040). The income amounts shown on the attached forms must equal the amount shown on the RITA certification statement. (See Gross Compensation below.)

Attach and complete the Worksheet for Calculation of Covered Taxable Reimbursement.

Indicate the state(s) and/or local jurisdiction(s) for which you were required to pay additional taxes because of reimbursed moving expenses.

Attach a copy of applicable local jurisdiction tax rate tables, schedules, or formulas so that the local marginal tax rate can be confirmed by the payment center.

The signed and dated certification, with attachments, must be submitted with the Travel Voucher (CD-370).

The numbers below correspond to the circled numbers on the sample Certification Statement.

- 1) Enter your name (first and last name only).
- 2) Enter your social security number.
- 3) Enter applicable calendar year for RITA claim.

Gross Compensation

- 4) Enter total gross wages from your Form(s) W-2, Wage and Tax Statement. If you have more than one W-2, enter the total amount of all W-2s. A copy of each W-2 must be attached to the RITA claim.
- 5) Enter your net earnings (or loss) from self-employment income as shown on line I plus line 2 of Schedule SE (1040) for self-employment, if applicable. A copy of the Schedule SE (1040) must be attached to the RITA claim.
- 6) If your filing status for the applicable year is "married filing joint return," include the total gross wages from

your spouse's Form(s) W-2 (if the spouse had wages). If the spouse has more than one W-2, include the total amount of all W-2s. A copy of each W-2 must be attached to the RITA claim

- 7) Enter your spouse's net earnings (or loss) from self-employment income as shown on line 1 plus line 2 of Schedule SE (1040) for self-employment, if applicable. A copy of the Schedule SE (1040) must be attached to the RITA claim.
- 8) Enter cumulative total of items 4) through 7).

Filing Status

- 9) Check box to enter Federal filing status as shown on Form 1040, Individual Income Tax Return, for the tax year involved.

Marginal Tax Rates

- 10) Federal: In decimal format, enter the marginal tax rates for Year 1 and Year 2 from the Federal Tax Tables for RIT Allowance, found in FTR 302-11, Appendices A and C. Using the proper table and appendix for the appropriate tax year, find the income range in the appropriate filing status column. The Federal Marginal Tax Rate is listed in the left hand column.
- 11) State: Enter name of state(s) where a state tax liability or relocation reimbursements was incurred. Enter the marginal tax rate for the appropriate tax year from FTR 302-11, Appendix B.
- 12) In decimal format, enter the state marginal tax rate for each state shown in item 11. For example, 1 percent should be shown as .01. This rate is obtained from the State Tax Table for RITA, found in FTR 302-11, Appendix B. Use the proper tax table for the appropriate tax year.
- 13) Check the proper box to indicate how the state marginal tax rate(s) shown in item 12) is expressed.
- 14) Local: Enter name of the locality where local income tax liability was incurred.
- 15) Enter the tax rate for each locality in decimal format. For example, 1 percent should be shown as .01. Attach to the Certification Statement a copy of the local income tax rate table (or other documentation) for each locality shown in item 14) for that tax year.

- 16) Check the proper box to indicate how the local marginal tax rate shown in item 15) was expressed.
- 17) Check the proper box indicating the type of local taxing authority.

Effective Date of Transfer

- 18) Enter date you actually reported for duty at the new official station (month, day, year).

Distance Requirement

- 19) Answer questions A and B. Subtract B from A, answer question C by checking the box only if appropriate.

Certifications

- 20) Sign and enter current date.
- 21) Your spouse must sign and enter date if filing status for the applicable tax year is "married filing jointly."
- 22) Sign and enter current date.

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[NOTE: Unscannable material omitted.]

DOC TRAVEL HANDBOOK

Chapter 302--Relocation Allowances

302-12.2

PART 302-12--USE OF RELOCATION SERVICE COMPANIES

302-12.2 Policy.

The Department is a mandatory user of the contract for Government-wide relocation services issued by the General Services Administration. This policy supplements the terms and conditions established under that contract. *The contract provides for relocation services for transferring employees consisting of: (1) home sale services; (2) home marketing assistance; (3) home finding assistance; and (4) mortgage counseling.*

Operating units and Department offices (bureaus) may elect not to offer the home sale services to their employees. All eligible transferring employees of a bureau who does not offer the home sale services shall be relocated in accordance with the Federal Travel Regulations, Part 302-6, Allowance for Expenses Incurred in Connection with Residence Transactions. If a bureau does choose to offer the services, it shall be made available to all eligible transferring employees of that bureau.

Employees must check with the travel contact/personnel office of the gaining bureau or operating unit to determine if home sale services are available to employees transferring to that bureau. Also, the Relocation Services Coordinator (RSC) at the receiving Administrative Support Center (ASC) (see Exhibit 302-12A, Appendix A) should be contacted when a permanent change of station will include the sale of real estate. Contact should be made as soon as official written notification is received for the permanent change of station.

*Bureaus offering home sale services shall do so within the following guidelines:

(a) Require employees to market their residences conventionally. After receiving written notification of selection or transfer, an employee must market their residence through a multiple-listing service or independently market the residence for a 90-day period before he/she can become eligible for home sale services. The 90-day period begins with the date on a listing agreement or proof of advertising, such as a newspaper advertisement.

In cases of extreme hardship, the head of the bureau/operating unit or his/her designee has the authority to waive the 90-day waiting period.*

*If an employee has not sold his/her residence after 60 days of the 90-day period, he/she may notify the Relocation Services Coordinator (RSC) that the residence has not been sold and request entrance into the home sale services program at that time. However, if an employee receives an outside offer to purchase their residence between the 60th and 90th day, the employee should proceed to sale their residence under the direct reimbursement method as authorized in Part 302-6. The employee must notify the RSC if an offer is received during this period. The RSC will instruct the contractor to place the home sale services on hold.

If the employee was able to close on the outside offer, he/she will notify the RSC to cancel the home sale services and file a claim for direct reimbursement of residence sale transaction costs on a travel voucher. The Department will reimburse the relocation company for any expenses incurred that are allowable under the GSA contract. If the sale of the residence was not completed, the employee will notify the RSC to continue with the home sale services. If the employee does enter the program after 60 or 90 days, he/she will not be eligible for reimbursement of any costs incurred which are identical to the costs paid to the contractor.

The employee must continue to market their residence for the entire 90-day period; and

(b) Limit the value of a residence on which the Department will pay the relocation service company fee to \$300,000. The portion of a fee for any residence whose appraised, amended value, or amended from zero sale price is above \$300,000 is the responsibility of the employee.*

302-12.3 Responsibilities.

Hiring organizations, eligible employees, and relocation services coordinators (RSCs) will be responsible for taking appropriate actions and following the procedures and guidelines contained in this part and in Exhibit 302-12A.

The following individuals and organizations have direct responsibilities for the use of relocation services:

(a) Administrative Support Center (ABC). Directors of the ASCs will designate an RSC and at least one alternate RSC to provide counseling and coordination of services to the relocating employee. Hiring organizations will use the services of the RSC at the ASC that generally provides their organization with

services of the RSC located in the *National Oceanic and Atmospheric Administration, Office of Administration*.

(b) Hiring organization or approving/requesting official. The hiring organization or approving/requesting official should:

(1) *Notify the relocating employee in writing of the required reporting date at the new duty station as far in advance as possible. As required by FTR 302-1.3(b), employees should be given a minimum of 30 days advance notice;*

(2) Ensure that the Department's relocation and travel policy is clearly communicated to new hires and transferring employees;

(3) Prepare a CD-29, Travel Order, for a permanent change of station (PCS) that correctly authorizes the employee those allowances to which he/she is entitled. *The travel order should obligate funds for the direct sale of the employee's residence at the old official duty station. If the employee chooses to enter the home sale services program after 60 days, the travel order should be amended to reverse this obligation. The RSC will create a new obligation with the processing of the CD-404, Supply, Equipment or Service Order. However, if the employee receives an outside offer to purchase their residence between the 60th and 90th day, the travel order shall be amended again to obligate the direct sale of the residence;*

(4) Reasonably assure that the residence address shown on the CD-150, Request for Authorization of Travel and Moving Expenses, (see Exhibit 302-1A for a copy of the CD-150) is the dwelling from which the employee commuted to the old duty station on a daily or regular basis. The approving/requesting official may seek the assistance of the organization from which the employee is being hired or transferred in making this determination;

(5) Ensure that proper care is taken in preparing the travel order to avoid possible suspension of contractor services to the employee, and/or possible collection from the employee for fees paid by the Government to the contractor for services rendered to an ineligible employee;

(6) Ensure that the travel order is completed promptly and that the appropriate copies are forwarded to the relocation services coordinator at the hiring organization's servicing ASC; and,

(7) Coordinate employee requests for additional allowances or an extension of allowances already authorized (e.g., house-hunting, temporary quarters) with the RSC. This will allow the approving official to confirm that full advantage is being taken of the contractor's services and that additional or unnecessary expenses will not be incurred by the hiring organization.

(c) Transferring Employee. *After receiving official written notification of a transfer*, the transferring employee is responsible for:

(1) Indicating the services and allowances that he/she will require during the transfer. Form CD-150, Request for Authorization of Travel and Moving Expenses, will be used for this purpose;

(2) *Calling the contact person listed on the CD-150 or the bureau travel contact of the bureau that he/she is transferring to in order to determine if that bureau/operating unit has elected to offer home sale services to transferring employees;*

(3) Knowing the conditions and requirements that must be met for eligibility of home sale services and other relocation allowances. If the transferring employee has questions concerning the allowances he/she should call the contact person on the CD-150, the bureau's travel manager, or the RSC at the servicing ASC;

(4) *Marketing his/her residence for a 90-day period;

(5) Forwarding a copy of the multiple-listing agreement, or other proof that the employee has put forth a good-faith effort to market his/her residence for 90 days, and the listing period ending date to the Relocation Services Coordinator to establish eligibility for home sale services when the residence is not sold during the listing period;

(6) Filing for direct reimbursement of residence sale transaction costs, under Part 302-6, if the residence is sold during the listing period;

(7) Notify the RSC if the residence has not sold after 60 days of the 90-day period to request entrance into the home sale services program;*

*(8) Notify the RSC if an offer is received between the 60th and 90th day and proceed to file for direct reimbursement of residence sale costs if the sale is completed; and

(9) Notify the RSC if the sale of the residence was not completed and request that the RSC continue with the home sale services.*

(d) Relocation Services Coordinator (REC). The RSC is responsible for the following:

(1) Ensuring that only eligible employees are referred to the contractor;

(2) Confirming with the employee that he/she has marketed their home independently (either by listing the home with a real estate broker or by making reasonable efforts to sell the house on a "For Sale by Owner" basis) for a 90-day period or after 60 days of the 90-day period before entering the employee in home sale services program;

(3) Informing the employee of the types of services available from the contractor;

(4) Acting as the contract point for questions and problem resolution relating to services provided by the relocation services contractor;

(5) Preparing the CD-404, Supply, Equipment or Service Order, in accordance with the completion instructions and transmitting the CD-404 and any other required information to the contractor *after 60 days of the 90-day period, if notified by the employee, or at the end of the employee's 90-day listing period if the residence has not been sold;*

(6) *Notify the contractor to place the home sale services on hold if the employee receives an outside offer between the 60th and 90th day. If the sale of the residence was not completed, the RSC will notify the contractor to continue with the home sale services;*

(7) Acting as intermediary between the contractor and employee to resolve problems when either party requests assistance;

(8) Verifying that the contractor is performing in accordance with the terms of the contract and reporting violations to the *Office of Federal Assistance and Management Support*;

(9) Monitoring the progress of each employee's relocation until the authorized services are completed and invoiced;

(10) Reviewing and recommending payment of the invoice(s) received from the contractor;

(11) Monitoring expected and actual costs for each employee relocation and when necessary, initiating amendments to the CD-404;

(12) Notifying the hiring organization of the amount of the obligation being established for the relocation services ordered by properly distributing copies of the CD-404; and

(13) Referring questions regarding policy and guidelines the *Office of Federal Assistance and Management Support*.

(e) Finance Division, ASCE, and *Finance Service, Division, NOAA*. These payment offices will be responsible for enforcing the dual benefit prohibition discussed in FTR 302-12.5(b).

(f) *Office of Management Support, Office of Federal Assistance and Management Support (OFAM8). The Office of Management Support* will:

(1) Issue and interpret Department policy regarding relocation issues;

(2) Serve as the primary liaison between GSA, the contractors, and the RSCs; and

(3) Coordinate *and disseminate information regarding relocation services*.

302-12.4 General conditions and limitations for eligibility.

(a) Employees covered. Relocation services may be made available to employees whose transfer from one official station to another is determined to be in the interest of the Government and is not primarily for the convenience or benefit of the employee or at the employee's request.

(b) Persons excluded from coverage. The following employees are not eligible for relocation services:

(1) New appointees, including Presidential appointees and new appointees to shortage category and Senior Executive Service positions;

(2) Employees assigned under the Government Employees Training Act;

(3) Employees assigned or transferred to or from a post of duty in a foreign area except employees eligible for reimbursement of residence transactions expenses as provided in FTR 302-6.1(g);

(4) Foreign Service Officers and members of the National Oceanic and Atmospheric Administration (NOAA) Corps; and

(5) Employees who have not completed marketing their residences for a 90-day listing period, unless they have requested entrance into the program after 60 days of the 90-day period, or unless they have been granted a waiver in accordance with CTR 302-12.2.

302-12.S Procedural requirements and controls.

(a) Employee option. An employee *whose bureau/operating unit has elected to offer home sale services to transferring employees* may relocate using these services or may choose to relocate under existing direct real estate reimbursement regulations contained in the Federal Travel Regulations, Part 302-6.

(c) Service agreement. The CD-150 contains a service agreement that relocating employees must sign, agreeing to stay in the employment of the Federal Government for one year following the effective date of transfer. If the employee violates this agreement, the Government has the right to recover from the employee any and all payments made to the relocation company on the employee's behalf.

(d) Ineligible individuals and properties.

(1) Individuals. An employee will not be eligible for home sale services if any of the following circumstances exist, unless all owners satisfy the Government and the contractor of their willingness and ability to pay their proportional shares of the contract cost directly to the contractor. The Government will pay only a proportional share of the contract cost if:

(i) Any person(s) other than immediate family members owns a share in the residence. Divorced or legally separated spouses, at the time the employee is notified of his/her move or at the settlement date, who own a share in the employee's residence, will be considered an unrelated joint owner.

(ii) The residence is a duplex or another type of multiple occupancy dwelling which is owned by an employee or his/her immediate family and is only partially occupied by an employee. This restriction would not apply to a case where an employee owns a condominium apartment.

(2) Properties. The following properties are not eligible for the home sale services:

- (i) Homes that are not insurable;
- (ii) Mobile homes (whether or not affixed to real property owned by the employee);
- (iii) Cooperatives;
- (iv) Homes contaminated by a toxic substance, such as active Urea Formaldehyde Foam Insulation (UFFI) and radon gas which cannot be corrected;
- (v) Houseboats;
- (vi) Homes on which construction has not been completed;
- (vii) Homes that are not adequately serviced by potable water or sanitary waste facilities, *as defined by the applicable state and local standards for water and sanitary waste services*;
- (viii) Homes that cannot be financed; and
- (ix) Homes that do not comply with *other applicable state or local codes, such as building, health and fire codes, provided conditions resulting in such noncompliance are documented in accordance with said state or local codes. It is the employee's responsibility to bring the property to code at his her own expense.* If the repairs are not corrected within 30 calendar days, the property will be ineligible for the home sale services.

(e) Temporary quarters. (See CTR 302-5.2(a) for policy on temporary quarters.)

(f) Travel to seek residence quarters. Employees who accept relocation services *shall be authorized no more than 10 days for a househunting trip for themselves and their spouses. See Part 302-4, Travel to Seek Residence Quarters.*

(g) Relocation services. Eligible employees may use any or all of the relocation services provided by the contract. The contract provides for services consisting of:

(1) Home sale services. A home, for purposes of the home sale services portion of the contract, is defined as the actual residence owned and occupied by the employee at the time he/she was first definitely informed by a competent authority within the bureau of his/her transfer. The residence must be the place from which the employee regularly commuted to and from work, prior to relocation. To be eligible for participation in the contract the employee's interest in a residence must be reflected in a title vested in one of the following:

- (i) In the name of the employee alone;
- (ii) In the joint name of the employee and one or more members of his/her immediate family;
- (iii) Solely in the name of one or more members of the employee's immediate family; or
- (iv) In the joint name of the employee and a separate unrelated Joint owner including divorced or permanently separated spouse, subject to the conditions as stated in CTR 302-12.5(d) or 302-12.5(h).

(2) Offer to purchase. The relocation company will make an offer to purchase the employee's residence for its fair market value as determined by independent appraisals. The employee may:

- (i) Accept the appraised value;
- (ii) Continue to independently market the home *during the acceptance period* and, if successful, amend the appraised value offer; or
- (iii) Reject the relocation company's offer and be reimbursed for residence sale expenses under FTR 302-6. The employee, however, will not be reimbursed for any charges (inspection fees, appraisal fees, etc.) which are identical to the costs paid to the relocation company.

(3) Home marketing assistance (*no cost*, at employee's option). The relocation company will provide assistance to transferring employees wishing to sell their homes at the old duty station in conjunction with the home sale services or independent of it by aiding employees in selecting a real estate broker, establishing a realistic price and marketing strategy, recommending repairs or improvements to enhance salability, and

providing advice on negotiating with potential buyers and evaluating offers.

(4) Home finding assistance (*no cost*, at employee's option). The relocation company will provide individual counseling services to familiarize the transferring employee with the real estate market (including rental properties), schools, taxes, commuting, community life, etc., at the new duty station. Similar services are also available from other local firms at no cost to the employee or the Government.

(5) Mortgage finding assistance (*no cost*, at employee's option). The relocation company will provide information on the types and availability of mortgage financing and qualification requirements. Similar services are available at no cost to the Government from private companies offering mortgage programs with Application and processing over the telephone and through the mail. Employees should consult their Relocation Services Coordinator for information concerning these private firms.

(h) Proration of relocation company fees.

(1) Joint ownership with non-family members. If any owners of the property are not members of the employee's immediate family, the fee charged by the relocation company will be prorated to the employee based on each owner's interest in the property to be sold. The Department will pay only the portion attributable to the employee and his/her immediate family. (See CTR 302-12.5(d)).

(2) Income-producing property. The employee must pay a prorated portion of the fee for any part of the residence that is used as income-producing property.

(3) *Residence value in excess of Department limit. The employee must pay the portion of the fee for the amount by which the appraised or amended value of the residence exceeds \$300,000*.

(4) Adjusting the fee. Any part of the fee which *is not the responsibility of the Department will either be deducted from the employee's equity or be paid by the employee at settlement.*

EXHIBIT 302-12A

Procedures for Use of Relocation Services
Contractors by Transferring Employees and
Authorizing Officials of Hiring Organizations

The following procedures should be followed to ensure that each transferring employee receives the maximum benefit available to him/her and to reduce the financial impact of the transfer on the employee and the Government.

1. Notice of Reassignment or Transfer.

The hiring organization should notify the transferring employee of the required reporting date at the new duty station as far in advance as possible. Employees should be given a minimum of 30 days advance notice, as provided by FTR 302-1.3(b). The employee should be provided a copy of the policies and procedures on the "Use of Relocation Services Contractors" in these regulations and any other material related to change of station relocation allowances.

2. Request for Authorization of Travel and Moving Expenses.

The transferring employee must complete the CD-150, Request for Authorization of Travel and Moving Expenses. Before completing the CD-150, the employee should contact the individual indicated at the top of the CD-150 or the Relocation Services Coordinator (RSC) located in the region of the employee's new duty station (Appendix A) *to determine if home sale services is available to employees transferring to that bureau* and for information concerning the relocation services provided by the contractor. Also, see Appendix B which provides a description of the relocation services offered by the contractor. Employees who do not meet the requirements of the Federal Travel Regulations for reimbursement of real estate expenses (e.g., those relocating for personal convenience, or new hires) may be authorized other services covered by the contract, since these services are provided at no cost to the Government.

3. Completion of Required Forms.

The completed and signed CD-150 must be returned to the office indicated before a CD-29, Travel Order, can be prepared. Employees should not take any actions or incur any expenses related to the transfer until a travel order has been properly authorized. If selecting relocation services, the employee will be contacted by the RSC. The RSC will work with each employee to coordinate the home sale and other support services that are offered by the contractor.

4. Required Actions of the Authorizing Officer.

A. When the hiring organization contact (as noted on the CD-150) receives notification from the employee that the CD-150 was signed and contractor relocation services are requested, the contact must notify the RSC servicing the hiring organization.

B. If the employee has indicated an interest in relocation services, the authorizing officer must provide the RSC with two copies of a properly prepared travel order. The authorizing officer must also provide the RSC with a copy of the CD-150. *If the employee is interested in home sale services, the travel order should authorize and obligate funds for the direct sale of the employee's residence at the old duty station. The travel order should be amended to reverse this obligation if the residence does not sell during the 90-day listing period or after 60 days of the 90-day period and the employee elects to enter the home sale services program. The RSC will notify the contractor of the employee's request for home sale services and process a CD-404, Supply, Equipment or Service Order. This will obligate funds for a contractor-provided home sale. If the employee later rejects the offer made by the contractor or cancels the transaction before the sale of the home takes place, the travel order shall be amended again to obligate the direct sale of the residence by the employee.*

5. Marketing of the Employee's Home.

The employee should begin marketing his/her residence through a multiple-listing service or independently marketing their residence as soon as possible after receiving written notification of selection or transfer. Employees must market their residences for a 90-day period or complete 60 days of the 90-day period before becoming eligible for home sale services. If requested, the contractor will provide home marketing assistance to the employee at no additional cost.

Once the initial 90-day listing period has ended, an employee electing to use the home sale services must *continue* to market his/her home independently to attempt to receive a better offer than through an appraised value sale. This would entitle the employee to the amended value sales provision of the contract, providing a greater payment to the employee, and reducing the fee charged to the Government by the contractor. The employee must be certain to include an "exclusion clause" (Appendix C) in the broker's listing agreement when he/she *continues* to market his/her home independently and uses the services of a broker to help market home. The "exclusion

clause" allows the employee to cancel the listing with the broker and protects the employee from a claim for a real estate commission in the event the home is sold to the contractor. Failure to include this clause could cause the employee to be liable for a non-reimbursable brokerage commission.

6. Election of Contractor Services by the Employee.

The employee should notify the contact person indicated on the CD-150 or the RSC located in the region of the employee's new duty station that relocation services will be requested if their residence has not been sold after marketing it for a 90-day period, or after 60 days of the 90-day period if the residence has not been sold. This notification may be by telephone.

*If the employee elects to use the home sale services, the following documents/information should be kept available and not stored or shipped with household goods: (a) deed of trust or promissory note, (b) legal description of the property, (c) copy of the survey, (d) title insurance policy, (e) home owner's warranty (if applicable), (f) mortgage/lender information; i.e., name, address, telephone number, account number, loan pay-off information, (g) property tax receipts and current tax bill, (h) home owner's association or condominium association information and documents (if applicable), (i) warranties for appliances that remain in the home, and (j) building permits (if applicable).

7. Employee Contact by the Relocation Services Contractor.

Within one workday after the RSC notifies the contractor of the employee's interest or intention to use the contractor's services, the contractor's relocation counselor will contact the employee and describe in detail the home sale services and the other services available. The initial contact with the transferring employee will be by telephone, and will be followed up in writing within five working days. At this time, the contractor will provide the employee with applicable publications describing the services offered.

8. Househunting Trip and Temporary Quarters.

The employee is limited to a maximum of *10* days for travel to seek residence quarters (househunting trip) and/or a maximum of *60* days of subsistence while occupying temporary quarters (see CTR 302-5.2(a)). *Employees are encouraged to use the home finding assistance services provided at no cost by the contractor to assist them in locating a new residence.*

9. Appeals.

A. The employee has 60 calendar days from the date of a telephone or written offer to accept or reject the contractor's appraised value offer. If the employee takes exception with the amount offered by the contractor for the residence, the employee has the right to appeal to the contractor for reconsideration. Since the contractor is required to make an offer based solely on appraisals by independent appraisers, the success of the appeal depends on additional considerations which convince the appraiser(s) to change the appraised value. Disputing the appraiser's subjective judgment will generally not be successful. The employee should instead focus the appeal on identifying any factual errors in the appraisal or inspection report(s) and/or providing better information regarding comparable home sales in the employee's neighborhood. The appraiser(s) will then reconsider the value based on the information available.

B. The employee should file a written appeal as soon as possible, after carefully reviewing the written appraisal and reports. The appeal process must be completed prior to the expiration of the 60 calendar day acceptance period.

C. The appeal should identify each specific error in the appraisal or inspection report(s) with an explanation as to why the item listed is in error.

D. The employee should specifically request that the contractor's response be in writing and that it address each of the employee's concerns.

E. The employee should send the written appeal directly to the contractor's relocation manager or counselor with whom the employee has been dealing. A copy should be sent to the RSC.

10. Questions/Problems Encountered.

Any questions or problems encountered by the employee that cannot be addressed by the contractor should be brought to the attention of the RSC for resolution. If the problem cannot be resolved at that level, the RSC should notify the Department Coordinator *(Office of Management Support, Office of Federal Assistance and Management Support)*. If the situation requires technical decision or a contracting officer's decision, the Department Coordinator will resolve the issue with the General Services Administration. The Department Coordinator will be available to provide technical guidance and assistance to the RSCs. Inquiries by the employee should be referred to his/her operating unit travel manager or the RSC.

11. Non-Acceptance of Offer.

A. If the employee cancels services, rejects the offer made by the contractor, or allows an offer to expire; the hiring organization will pay for any justifiable direct cost(s) incurred by the contractor (e.g., inspections, title search, and appraisals).

B. The above action(s) will require the approving/authorizing official to amend the CD-29, Travel Order, to allow reimbursement for the direct home sale transaction and the RSC to have the CD-404, Supply, Equipment, or Service Order, adjusted or cancelled.

C. The employee will not be eligible for direct reimbursement for any subsequent appraisal fees, inspection fees, title services cost or other fees which cover services which have been performed by the contractor. The contractor will provide the employee with copies of any appraisal(s) or inspection(s) performed; however, these documents may not be acceptable by other parties associated with a direct sale transaction.

APPENDIX A
Relocation Services Coordinators

<u>Employee's Duty Station Serviced by:</u>	<u>RSC Mailing Address</u>	<u>Telephone Number</u>
EASC	NOAA/EASC Finance Division 253 Monticello Avenue Norfolk, VA 23510	(FTS) 8-827-6897 (Comm) 804-441-6897
CASC	NOAA/CASC Finance Division 601 E. 12th Street Room 1760 Kansas City, MO 64106	(FTS) 8-867-7543 (Comm) 816-374-7543
MASC	NOAA/MASC Finance Division 325 Broadway, MCI Boulder, CO 80303	(FTS) 8-320-6195 (Comm) 303-497-6195
WASC	NOAA/WASC Finance Division 7600 Sand Point Way, N.E. BIN - C15700. Seattle, WA 98115-0070	(FTS) 8-392-6012 (Comm) 206-526-6012
NOAA/OA*	NOAA/Office of Admin. Caller Service #7025 20020 Century Blvd. Germantown, MD 20874	(FTS) 8-427-2029 (Comm) 301-427-2029

*Washington, D.C. Metropolitan

APPENDIX B
CONTRACTOR PROVIDED RELOCATION SERVICES

Contract Coverage: The following is a description of the relocation services offered by the contractor:

1. Home marketing assistance. The contractor will provide assistance to employees wishing to sell their homes at the duty station, either in conjunction with the home sale services provision or independently. These services will include:

a. Developing a marketing strategy, suggesting a listing price, and an estimate of the probable selling price and terms.

b. Recommending repairs and/or improvements that will enhance the salability of the property. The cost of any recommended repairs and related expenses will be borne by the employee and not reimbursed by the Government.

c. Providing the employee a recommend broker to use in listing the property for sale, if requested by the employee.

d. Advising the employee on managing the property sale and working with a broker.

e. Advising the employee on negotiating with potential buyers and evaluating any offers received.

2. Home sale services. The home sale services provision includes the appraised value sale, the amended value sale, and the amending from zero sale as set forth below.

a. Appraisals.

(1) After receipt of the official order for services, the contractor will contact the employee to discuss the appraisal process and provide the employee with a list of qualified, certified appraisers. Employees shall have the option of selecting from a list of appraisers within the geographical area provided by the relocation firm, or the employee may request that the contractor use a fully qualified appraiser of the employee's choice, who is not on the list provided by the relocation firm. This appraiser shall not be a Government employee, have a vested interest in the property, or appraised the property within the last six months. The employee will select two appraisers and an alternate to perform the appraisal. All appraisers are to have achieved professional designation or be certified through nationally recognized organizations such as the American

Institute of Real Estate Appraisers and/or the Society of Real Estate Appraisers. The list of qualified appraisers provided by the relocation firms shall contain only appraisers who are qualified residential appraisers. In addition, the contractor will advise the employee that he/she is required to complete and sign a disclosure statement prior to the performance of any appraisals or inspections on the property.

(2) Upon notification of the employee's selection of appraisers, receipt of the disclosure statement, and official purchase order, the contractor will arrange for two independent appraisals of the property. These appraisals are to be made on the property in "as is" condition. At the same time, the contractor will order a title search and inspections required by state or local laws (may include termite, well, septic, UFFI and radon gas inspections). All reports and any inspections requested must be executed within 30 days from the date of the employee's selection of the appraisers, receipt of the disclosure statement by the contractor or receipt of the official order for services, whichever is later. *If the RSC is convinced that local conditions preclude completion of the appraisals and/or inspections within 30 working days, the RSC may grant a reasonable extension of time to complete the process. This extension shall not exceed an additional 15 working day period.*

Appraisals shall be conducted according to the Employee Relocation Council (ERC) appraisal guidelines, using the ERC appraisal form. If the two appraisals differ by more than 5% of the higher appraisal, the contractor shall arrange for a third independent appraisal. The third appraisal will also be completed within the 30 working day time frame. *However, if the RSC is convinced that local conditions preclude completion of the appraisal within 30 working days, the RSC may grant a reasonable extension of time to complete the process. This extension shall not exceed an additional 15 working day period*.

b. Appraised value sale. Within two working days of completion of the appraisal process the contractor shall make the employee a verbal "appraised value offer" to purchase the property. The contractor's offer will be based on the average of the two appraisals, or an average of the two closest appraisals when a third appraisal is ordered. The employee has the right to appeal the appraisals, if the appraisers did not include some significant item that makes the house more valuable. The employee will have 60 days from the date the contractor makes the offer to either accept or reject the offer. If the employee does not accept within the 60-day period, it will be considered an

automatic rejection of the offer. *If the employee rejects the contractor's offer, the home shall no longer be eligible for participation in the home sale services portion of the contract.*

c. Amended value sale. If the employee receives an independent offer during the appraised value sale process (and before the expiration of the 60-day acceptance period) that is equal to or greater than the contractor offer, the contractor will amend the offer to the employee for the larger net amount. The employee must include an "exclusion clause" in any listing agreement with a broker that will terminate the listing agreement if the house is sold to a relocation contractor. Offers received by the employee during this period must be forwarded to the contractor for verification before the offer is accepted.

d. Amending from zero sale. If an employee receives an outside offer to purchase his/her home prior to completion of the appraisal process, he/she will notify the contractor who will review the offeror's terms and counsel the employee throughout the negotiation of the offer. The contractor shall obtain broker's market analyses from two licensed real estate brokers. The higher of these shall serve as a benchmark of market value to help determine the reasonableness of the outside offer. In order to qualify for this concept, the offer must not exceed the broker's market analysis by more than 5% and financing must be available to the prospective offerors. If the employee is satisfied with the net sale amount of the offer, the contractor may make a guaranteed offer to purchase the property provided:

- (1) The contractor determines the offer to be bona fide, and
- (2) The broker's market analysis indicates it is a reasonable offer. The employee should be cautioned not to sign any papers with the proposed offeror *or accept any money*.

e. Equity advance.

(1) *Equity advance prior to acceptance of offer. During the acceptance period, the contractor may advance up to 75% of the employee's estimated equity, based on the appraised value offer, if the employee requests such advance for the purpose of purchasing a home at the new duty station.

The equity advance may be secured by a second deed of trust or other security which the contractor deems satisfactory. In the event that the employee does not accept the contractor's appraised value offer, the contractor may use normal legal*

*recourse if the employee fails to repay amounts advanced. Furthermore, in the event that the employee does not accept the contractor's offer, the contractor may charge the employee a \$125 administrative fee. The Government shall not accept responsibility for repayment of the amount advanced and the contractor shall have no legal recourse against the Government if the employee fails to pay the amounts advanced.

The equity advance shall be deducted from the employee's equity upon the contractor's acquisition of the property. The contractor's cost of money or any other administrative charges will not be charged to the employee or to the Government.*

(2) Equity advance after acceptance of offer. When the sales price executed by the employee exceeds the outstanding mortgage balance and other encumbrances, the contractor will pay the employee 95% of the calculated equity within five working days after receipt of acceptance and execution of the Contract of Sale by the contractor if the property has not been vacated. The balance will be paid to the employee upon vacating the property. If the employee has vacated the property at the time of acceptance and execution of the Contract of Sale, the contractor will pay the employee 100% of the equity within five working days after receipt of acceptance and execution of the Contract of Sale by the contractor. Payment of the equity advance must be via certified check, wire transfer, or cashier's check. When the outstanding mortgage balance and encumbrances exceed the accepted sales price, the employee must pay the contractor the deficit via certified check or cashier's check at the same time of the execution of the contract of sale.

f. Vacating date. A vacating date will be established when the employee accepts the contractor's offer. The date will be no later than 45 days from the date of acceptance of the offer. *This date may be extended in exceptional cases when approved in advance by the contractor and the RSC.* The employee will be responsible for maintaining the property in substantially the same condition as when appraised and for paying all maintenance, utility, insurance, and related costs for the property during the occupancy period. If the property is occupied by renters, the renters must vacate prior to the employee accepting the contractor's offer.

g. Completion of the home sale. The contractor will acquire the property on the date the employee vacates or the date of acceptance of the sales contract, whichever is later. After this date the contractor is the sole beneficial owner of the property and bears all the burdens of ownership, including

expenses related to maintaining, insuring and disposing of the home. The contractor will formally assume responsibility for all financial obligations and ensure the employee's credit record is protected. Neither the Government nor the employee shall be liable for any damage, loss, acts of God, or any other occurrence subsequent to this date.

NOTE: The following relocation contractor services (Items 3 and 4) are also available to employees who do not have residences to sell, but need assistance in obtaining a residence at the new duty station. Use of these contractor provided services are at no cost to the Government or the employee.

3. Home finding assistance. The contractor will provide the relocating employee with individual counseling services to familiarize the employee with information regarding the real estate market (including rental properties, schools, taxes, commuting, community life, etc.) at the new official duty station. This information will be tailored to the individual needs of the relocating employee. Specific home finding assistance includes:

a. Rental assistance. The employee will be contacted by the contractor to obtain information on the desired location, rental price range preferred, and the relocation time schedule. This information will be transmitted to personnel of a reputable rental agency, who will contact and counsel the employee. Rental assistance counseling will include (1) sending the employee a relocation information kit, (2) preparing a home hunting itinerary and scheduling appointments with the rental agent, (3) discussing the rights and obligations of the renter, including the requirements of lease agreements, prior to the showing of available rental units, (4) orienting the employee to the typical rentals within a suitable commuting distance, and (5) discussing the typical deposit requirements. The contractor will not charge, nor will the Government reimburse a separate fee for rental assistance. If, in the local market, rental agencies or agents customarily charge individuals a fee for finding rentals, the employee will be liable for payment of the fee. The contractor will inform the employee of any obligation for fees before services are provided.

b. Buyer's assistance. The employee will be contacted by the contractor to obtain information on the desired location, purchase price range preferred, and housing needs of the family at the destination location. Based on the information provided by the employee, the contractor will select a reputable broker in the destination area and provide a complete profile of the

employee's preferences. The broker will provide buyer assistance, counseling which will include (1) screening the available homes in the area and contacting the employee to familiarize him/her with information regarding the location area, (2) sending the employee a relocation information kit containing specific data the new area, (3) preparing a househunting itinerary, scheduling appointments to view the available properties, and acquainting the employee and spouse with points of interest in the new area, and (4) assisting in the preparation of the proper contacts and negotiating the purchase according to local custom once a suitable property has been selected.

The contractor will not charge, nor will the Government pay the contractor, a fee for buyer's assistance. Real estate broker fees are customarily paid by the seller of the property and not the buyer. However, if a particular broker or market area requires payment of other fees, the employee will be liable for payment of the fees. The contractor will inform the employee of any obligation for fees before services are provided. Certain fees or expenses may be reimbursable to the employee under the home purchase regulations of FTR 302-6.

4. Mortgage counseling. The contractor will counsel the relocating employee on nationwide and local mortgage programs that meet the employee's financial objective and qualifications. This counseling will include:

- a. Providing information on the types of mortgages available, rates, fees, lender qualification requirements, and relative availability of financing in the new area.
- b. Qualifying the employee, prior to the househunting trip, for mortgage amount and monthly payment, without the employee's obligation to pay an application fee.
- c. Referring the employee to national and local lending sources, to enable the employee to compare financing available and select a mortgage product and lender that meets the requirements of the employee.
- d. Providing the employee assistance in applying for a mortgage and monitoring the progress of the application until approval is obtained.

The contractor is not required to provide the actual financing to the employee. Any financing actually provided by the contractor will be considered "Optional Services."

5. Optional services. Relocation service contractors customarily provide other relocation services which are not covered by the Government contract. The contractor may advise the relocating employee of these services and their cost. These services are outside the scope of the contract and the Department in no way recommends their use, and the Department has not determined the prices charged to be fair and reasonable. The employee will be solely responsible for any obligation to the contractor for these services. The employee will be required to sign a statement to this effect prior to entering into an agreement for optional services. The Government will not pay for these services.

This addendum to be part of listing agreement for the sale of:

The listing agreement is subject to the following provisions:

1. No commission or compensation shall be earned by, or due and payable to, broker until the sale of the property has been consummated between seller and buyer, the deed delivered to the buyer and the purchase price delivered to the seller.

_____ (contractor's name) at any time. Upon the execution by

_____ (contractor's name) and me (us) of an agreement of sale with respect
to the property, this listing agreement shall immediately terminate without obligation on my
(our) part or on the part of _____
_____ (contractor's name) to either pay a commission or to continue this
listing.

Seller

Broker/Agent

12-24

Date:

March 1992 (TM 9)

PART 305-1--AUTHORIZATION PRINCIPLES

305-1.1 Purpose.

The purpose of this Chapter is to outline the underlying principles of Department of Commerce (DOC) travel management and to promulgate the guidelines under which bureaus may publish internal regulations and manage travel.

305-1.2 General travel authorizations.

The Department has published policies in earlier chapters which allow only the Secretary and Deputy Secretary to be issued unlimited open (blanket) authorization. All other employees must travel under either a limited open authorization or a trip-by-trip authorization. There is no prescribed form used to control authorizations; however, each bureau should use some form of written authorization to control travel.

(a) Budget control. The major consideration in deciding what type of travel authorization to issue each employee is the question of budget control. A bureau or unit which allows numerous exceptions to individual written travel authorizations invites loss of budget control and the use of numerous informal records. Conversely, excessive paperwork which only provides marginal control over predictable travel cost is not cost-effective.

(1) Bureaus should establish criteria for permitting limited authorizations based on their circumstances and the criteria outlined below:

(i) The traveler has predictable patterns of travel costs which can be estimated monthly with a reasonable degree of accuracy; or

(ii) The traveler holds a major management position in the bureau and is specifically accountable for a budget limitation.

(2) Oral authorizations are only permitted in emergency situations or for "local" travel. The authorization for local travel should be limited to circumstances where the cost of the authorization would be excessive in relation to the cost of the trip. Bureaus should define "local" trips subject to oral authorization.

(3) "Confirmatory Travel Orders" must be prepared as soon as possible after emergency travel. See CTR 301-1.5(h). Bureaus

may consider quarterly authorizations for individuals whose positions call for frequent short notice trips.

(4) The Office of Finance and Federal Assistance (OFFA) will review published bureau criteria for limited authorizations and "local" travel. While individual circumstances will be considered, criteria which appears to result in loss of control will be disapproved. Bureaus may coordinate such policy informally with OFFA.

(b) Level of authorization. Except for special types of travel otherwise covered in this chapter and elsewhere (e.g., foreign travel and premium-class travel), authority to approve (or disapprove) travel should be delegated to the individual who has practical responsibility for exercising budgetary control over the operations of the unit.

305-1.3 Special travel authorizations.

Certain types of travel are subject to actual (and equally important the perception of) waste or abuse. Consequently, levels of authorization which are sensitive to policy considerations are recommended. These policies and recommendations are outlined below:

(a) Foreign travel. This must be authorized as shown in CTR 306-1.

(b) Premium-class air accommodations. All premium-class air accommodations must be approved by the Assistant Secretary for Administration on Form CD-334, Request for Approval of Extra Fare Air Accommodations.

(c) Conference travel. Costs related to conferences constitute a significant part of the Department travel budget. The term conference does not include a work session attended primarily by non-DOC personnel.

(1) All conferences which are estimated to cost the Department more than \$25,000 must be approved by the Deputy Secretary. Contact the Office of Financial Management, OFFA, for details. These costs include the estimated cost of salaries as well as travel and other related outlays.

(2) All conferences which are estimated to cost Department more than \$5,000 must be approved by a bureau head or his/her designee. These costs include the estimated cost of salaries as well as travel outlays. Bureaus should publish, as an exhibit to this handbook, their reporting formats and clearances. Any designee must be submitted to OFFA for approval.

(3) Other guidelines on conferences are included in Part 4 of this chapter.

(d) Resort travel. We recognize that meetings held at resort areas can achieve significant savings when held in the "off" season. This possibility must be balanced against public perceptions. Consequently, all meetings tentatively scheduled in resort areas (beaches, mountain retreats, entertainment/gambling centers) must be justified and cleared at the Assistant Secretary level. The justification should clearly state that reasonable alternative locations are less economical. Any doubtful cases should be informally cleared. This regulation does not include meetings at offices located at resort areas.

(e) Travel involving leave. The primary purpose of any trip should be to accomplish essential Department business, not to provide free transportation to an individual for personal reasons. Again, public perceptions are a key ingredient. The travel order must specifically state that leave is planned in conjunction with the trip.

(f) Relocation travel. Relocation travel should be approved at a level no lower than the individual exercising budgetary control over the unit. This individual should be fully aware of the total costs likely to be incurred in the relocation.

(g) Off-shore travel. Approval procedures for travel to Alaska, Hawaii, and U.S. possessions should be published by each bureau as an exhibit to this chapter. Bureaus should consider the cost and perception of such travel in setting authorization levels.

(h) Group travel. *Requests for approval of groups of employees from the same bureau/operating unit, including non-Government persons (invitational travelers) whose travel expenses are being paid for by the Department, traveling to the same location or event must be submitted to Secretarial Officers\Heads of Operating Units, or designee, for approval as follows:

(1) Groups of fifteen or more for travel within the continental United States, and

(2) Groups of eight or more for travel outside the continental United States. (See CTR 301-1.102(b) (7).)*

(i) Travel expenses to attend award ceremonies. Travel and per diem expenses may be provided to a Departmental award recipient to attend a major award ceremony (e.g., Presidential award ceremony, the Department's annual award ceremony, or a prestigious honorary award ceremony sponsored by a non-Federal organization). In addition, bureaus may provide reimbursement of

travel and per diem expenses for one individual of the award recipient's choosing. This person can be a family member or another person whose close association with the employee is the equivalent of a family relationship. (See CTR 301-1.102(b) (8).)

PART 305-2--CONTROL OF ADVANCES

305-2.1 General policy.

Advances are generally intended to cover the reasonable expenses of a traveler over the next 45-day period. Unvouchered expenses are the travelers responsibility.

(a) Frequent travelers. For reasonably frequent travelers, it is not economical to repay the unused portion of an advance after each trip and shortly thereafter to request a new advance for additional travel. Frequent travelers (i.e., those who travel at least every 30 days) should maintain a continuous advance. The availability of a continuous advance should be related to frequency of travel, not the type of authorization allowed (e.g., continuous advances are not limited to individuals operating under open or quarterly limited authorizations).

The Management Service Center (MSC) system will compute monthly each advance holder's need over the most recent 45-day period. Advance amounts over the computed need will be billed in a demand letter and eventually deducted from the employee's payroll check if not repaid. An administrative fee of \$15 will be charged an employee if a salary deduction becomes necessary.

(b) Infrequent travelers. Infrequent travelers should immediately repay any unused advance when filing a travel voucher. Employees who fail to repay their outstanding travel advances will receive demand letters for excessive amounts and will eventually experience a payroll deduction. See paragraph above.

305-2.2 Maximum advances.

(a) Domestic travel. The maximum advance for domestic travel is \$5,000. This does not represent an entitlement, only the maximum amount that the MSC system will allow cumulatively in unvouchered advances. Generally, managers should allow a significantly lower amount. (See CTR 301-10.3(a) for the authority to authorize travel advances and limitations imposed on amounts advanced.)

(b) Foreign and relocation travel. The maximum advance for foreign and relocation travel is \$7,500. This should generally be more than sufficient for a 45-day need for current expenses.

(i) Foreign travel. Foreign expenses for an extended trip should be vouchered at least every 30 days. Travelers on

extended overseas stays should arrange to send their vouchers to their home offices for processing at their servicing payment office. This will ensure that the employee's travel history is complete and outstanding travel advance balance is correct.

(ii) Relocation. Advances for relocation expenses should be requested in stages as needed (e.g., househunting advance, temporary quarters, household contents transportation). Vouchers should be submitted timely for each stage.

305-2.3 MSC reports.

The MSC will issue to managers a monthly report of outstanding travel advances. This report will show unvouchered advances as well as amounts considered excessive. Managers must take immediate action to either: (1) secure immediate refund of excessive amounts, or (2) obtain a voucher for unreported expenses. Failure to do so will ultimately result in payroll deductions from the employee and potentially a citation of the manager for lax control practices. Further detail, are published in the DOC Administrative Manual, Chapter 2, Section 1.

305-2.4 Contractor-issued Government charge cards.

Contractor-issued Government charge cards, such as the Diners Club card, should reduce the employee's need for maintaining an outstanding travel advance. All employees who meet the criteria for obtaining the Government Diners Club card shall have their travel advances limited to amounts necessary for expenses which cannot be charged to the credit card. (See CTR 301-10.3(b).)

PART 305-3--ECONOMIC MODES OF TRAVEL

305-3.1 Airfares.

(a) Federal Travel Directory. The General Services Administration (GSA) publishes information on many of its programs for economical Government travel in the Federal Travel Directory. Bureaus should ensure that the Directory receives a wide and timely distribution.

(b) Contract airfares. GSA has secured significant discounts for Government travelers between most city-pairs. Schedules of contract carrier flights are included in the Federal Travel Directory. In some instances, non-contract carriers may offer more convenient or less costly alternatives; however, travel managers must recognize that the Government-wide discount depends on frequent usage of contract carriers. GSA does consider exceptional situations and lists specific conditions for using non-contract carriers in the Directory. (See CTR 301-3.4(b).)

Air carriers are monitoring Government usage and lodge complaints about the use of alternative carriers. Each travel order or travel voucher must state the reason for using other than contract carriers. (See CTR 301-2.2(c)(1)(B)(ii).)

(c) Travel centers. Wherever Federal Travel Management Center (FTMC) services are offered, the FTMC will actively seek the most economical fares, within GSA regulations. Bureaus should require travelers to use these services wherever possible.

(d) Rental cars. Also listed in the Directory are discount rental car rates negotiated for the Government by the Military Traffic Management Command. Employees should use the most economical class of vehicle meeting their needs.

305-3.3 Lodging.

(a) Hotel/motel discounts. GSA has also negotiated discounts with hotels and motels across the Nation. Use of these facilities are not mandatory unless they represent the lowest cost lodging in the area, considering mileage costs from the facility to the worksite as well as suitable dining facilities. The Federal Travel Directory lists all facilities where a formal discount is offered.

(b) Local offices. Another reasonable source for determining inexpensive lodgings is a local Department office. Travelers should be encouraged to contact these offices for

recommendations, as well as assistance in booking at the facility. Travelers should always inquire about a Government discount both when making reservations and when registering at the facility.

(c) Extended stays. Travelers who are assigned to a single temporary duty location for two weeks or more should be encouraged and assisted in obtaining long-term rates. Per diem or subsistence rates may be set below the maximums to encourage savings. (See CTR 301-7.7(c).)

PART 305-4--CONFERENCE MANAGEMENT

305-4.1 General policy.

Department-sponsored meetings (conferences, intra-bureau work sessions, training sessions, etc.) should be planned to allow for the most effective use of funds.

(a) If a meeting is necessary, facilities must be chosen with a concern for minimizing costs of transportation, per diem or subsistence, local meals, and rental of conference rooms. The following order or preference must used:

- (1) Local Department facilities;
- (2) Other local Government facilities;
- (3) Other local conference facilities; and
- (4) Facilities outside the official duty station.

(b) If employees from more than one official duty station are to attend a meeting, a site shall be chosen which results in the lowest overall cost to the Department.

(c) If a meeting for five or more employees requires the payment of transportation expenses, a cost analysis must be made and kept on file by the approving official. At a minimum, this analysis shall contain the name and duty location of each employee, the estimated expenses (meeting room rental, etc.), and a justification for choosing the meeting site over at least three other reasonable sites.

305-4.2 Conference coordinator.

A coordinator should be designated for each meeting or conference where the total lodging and meeting room costs will exceed \$5,000. The coordinator should:

(a) Determine the most efficient geographic location for the meeting or conference considering such factors such as airfares, lodging, and estimated meal costs.

(b) Determine the most efficient lodging facility for the meeting or conference considering such factors such as size and cost of meeting rooms as well as total lodging costs. In some instances it may be more economical to transport participants from lodging to the meeting location.

(c) Arrange for exemption from state taxes by paying for lodging, group meals, and meeting rooms by purchase order or

contract. Savings from 4 to 10 percent are available by using this method rather than having travelers pay the lodging establishment directly.

(d) Negotiate low cost or no cost meeting rooms based on lodging participants.

(e) Set special per diem rates or maximum subsistence rates based on negotiations for facilities and meals.

(f) Arrange for the collection of fees from participants for non-reimbursable amenities such as coffee and pastries during breaks. Participants must be advised that these costs are not reimbursable.

(g) Define the limits and requirements for individual participation.

(h) Arrange for hotel/motel bills which explicitly state the cost of meeting rooms.

(i) Arrange clearances as outlined earlier.

305-4.3 Participation.

Participation must be limited to the minimum number of individuals needed to transmit and relay information to operating units. Support personnel should not be invited to professional conferences unless the subject matter presented will clearly result in performance improvement. Conference coordinators should compile information on the attendance justification for each participant. This information will be used for management review.

305-4.4 Alternatives.

Bureaus should actively explore alternatives to on-site participation in each conference, such as teleconferencing. The Office of Personnel Management offers seminars in teleconferencing. The Office of Finance and Federal Assistance will assist bureaus in arranging these seminars.

305-4.5 Financing meetings via contracts or grants.

The use of grants to finance meetings and conferences for Federal employees is strictly prohibited. Likewise, the use of third party contracts is prohibited. Purchase orders or contracts may be used where the Government arranges lodging and conference facilities directly with the innkeeper.

305-4.6 Use of purchase orders to pay for conferences.

Purchase orders should be used to pay for conference lodgings, fees, and common meals, wherever possible, since use of the purchase order will avoid sales tax. All travel related expenditures on a purchase order should be classified under the proper budgetary object class. However, the use of a purchase order must not circumvent limiting meal and lodging costs to the maximum per diem rate. Lodgings and meals paid by purchase order should be noted on the travel order of each employee attending the conference.

EXHIBIT 305-4A
DO'S AND DON'TS FOR SPENDING PUBLIC FUNDS FOR CONFERENCES

Prohibited and Discouraged Practices

DONOT-Purchase gifts or momentos, such as key chains or ash trays, from Department funds or grantee funds. This prohibition applies to both Federal and non-Federal participants in the conference. Private funds may be used to purchase such items for non-Federal participants if the invoice is paid directly by the private party. Gifts to Federal participants are discouraged.

DONOT-Purchase alcoholic beverages from Department funds or grantee matching funds. Preferably, happy hours should be held on a "cash bar" basis. The cost of the bartender and incidental fees should be collected from the participants or-- included in the cost of the drinks. Private funds may be used to purchase such items, but may not be included as matching grantee expenses. The invoice for such events must be paid directly by the private organization. Lavish liquor parties for Federal employees are discouraged.

DONOT-Purchase refreshments such as coffee, pastries, soft drinks, or any other food which will be consumed during breaks or receptions. These items are, of course, allowable if taken as part of a regular meal (only three meals a day are allowable). You may collect a fee from each participant to cover these items and elect an individual to pay the invoice directly from such collections. Do not have the invoice sent to a Federal payment office.

DONOT-Purchase entertainment from Department funds or matching grantee funds. This prohibition includes fees for recreational facilities. Private funds may not be used.

DONOT-Provide luncheons or dinners for the public at large from Department funds or matching grantee funds. The cost of travel and/or meals may be provided only to specifically invited individuals. These individuals may not be simply passive participants, but (1) make a presentation germane to the meeting, or (2) actively confer with conference officials.

DONOT-Rely on grantee funds for otherwise legitimate expenses, unless the grant contract specifically allows conference expenses.

DONOT-Allow private funds to be used in connection with a conference where they may contribute to the appearance of a conflict of interest. Your ethics officer should be asked to advise conference coordinators in such cases.

DONOT-Provide meals or snacks to Federal employees at their official duty station. However, under the Government Employees Training Act, if a meal includes key speakers, lunches or dinners may be provided if (1) the meals are incidental to the meeting, (2) attendance of the employee at the meals is necessary to his full participation in the business of the conference, and (3) the employee is not free to take the meals elsewhere without being absent from essential formal discussions, lectures, or demonstrations concerning the purpose of the conference. You may provide a meal to a non-Federal speaker. See CTR 301-7.4(a) for policy regarding subsistence expenses at or near official duty stations.

DONOT-Provide lodging for Federal employees or others when the conference is held at their official duty station. Avoid scheduling sessions which are likely to last beyond 10:00 p.m. Begin morning sessions at a reasonable hour.

Encouraged Practices

DO-Start planning the conference at least four months before the scheduled starting date.

DO-Confer with your procurement officer regarding purchase of rooms and group meals. Purchase orders often avoid sales tax on these items.

DO-Compute and publish special per-diem rates if rooms and/or meals will be procured centrally.

DO-Make arrangements to use the negotiating services of an FTMC before contacting any motels or hotels. Contact OFFA for assistance.

DO-Consider ground transportation problems when selecting the meeting site.

Do-Inform all participants precisely what expenses will be reimbursed.

DO-Limit air transportation to contract airfares, where applicable, or coach economy.

DO-Draft a conference budget early in the process and coordinate contributions from co-sponsors. Revise the budget at least weekly.

DO-Contact airlines for a free "advance man" ticket.

DO-Issue invitational travel orders to non-Federal participants. A blanket order with an attached list will suffice. Be sure to avoid the "use of cash over \$100" by providing these participants with transportation tickets.

DO-Use the Checklist for Meeting Requirements as a guide to planning your meeting. See Exhibit 305-4B.

DO-Limit the number of bureau participants attending the conference to the minimum needed to accomplish the objective. Support personnel should not be invited to the conference unless their services are essential and not available from a local office.

DO-Forward for approval of the Deputy Secretary plans for each conference estimated to cost the Department more than \$25,000. Costs should include estimated salaries of participants as well as travel and other related outlays.

DO-Forward for approval of the Bureau Head plans for each conference estimated to cost more than \$5,000.

DO-Clear, at the Assistant Secretary for Administration level, all conferences tentatively scheduled in resort areas (beaches, mountains, retreats, entertainment/gambling centers). The justification for site location should clearly state that reasonable alternative locations are less economical.

EXHIBIT 305-4B
CHECKLIST FOR MEETING REQUIREMENTS

I. General Meeting Information

A. Meeting Name: _____

B. Meeting Location (City): _____

C. Meeting Dates: _____

D. Conference Coordinator: _____

E. Time meeting is in session each day:

First Day ___ AM ___ PM

Third Day ___ AM ___ PM

Fourth Day ___ AM ___ PM

F. Number of Attendees: _____

II. Meeting Room Requirements

A. If Outside Hotel:

1. Address: _____

2. Contact: Name _____

Title _____

Phone No. _____

B. Number of meeting rooms required _____

C. Number of persons to be accommodated in each room:

Meeting room A _____

Meeting room B _____

Meeting room C _____

D. Arrangement of tables in meeting room:

Meeting room A _____

Meeting room B _____

Meeting room C _____

E. Number of persons to be seated at head table: _____

F. Meeting room equipment required (provided by purchase order or Government-owned)

	Yes	No	Meeting Rooms
Lectern (Table Top)			_____
Lectern (Floor Type)			_____
Writing Board/Pens/Eraser			_____
U.S. Flag			_____
Easel			_____
Slide Projector			_____
Movie Projector			_____
Movie Screen			_____
Cassette Recorder			_____

Television	_____	_____	_____
Tape Recorder	_____	_____	_____
Microphone(s) (Floor)	_____	_____	_____
Microphone(s) (Table)	_____	_____	_____
Typewriter/Computer	_____	_____	_____

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	Yes	No	Meeting Rooms
Note Pads	_____	_____	_____
Pencils	_____	_____	_____
Other (Specify)	_____	_____	_____

III. Accommodations for Participants

A. Hotel name: _____

1. Address: _____

2. Contact: Name _____

Title _____

Phone _____

B. Number of rooms required each night:

1st Night _____ 2nd Night _____

3rd Night _____ 4th Night _____

C. Provide hotel with a list of attendees requiring rooms, noting those staying only a portion of the full meeting.

Provided by: Mail _____ Phone _____

D. Advise hotel of approximate time majority of attendees will check-in. Advised: _____

E. Advise hotel of names of those who will be late check-ins and approximate time of their arrival. Advised: _____

Most hotels will not hold reservations beyond a certain time (generally 6 or 7 p.m.) unless guaranteed. If reservation is guaranteed and the person does not arrive, the person paying the overall meeting bill will be charged for the room. Determine from the hotel its policy on this matter and call this to the attention of the meeting planner.

F. Determine hotel's normal check-out time.

G. Determine if hotel offers a late check-out. If it does not, secure information on where luggage may be checked after check-out and before end of meeting sessions.

	Yes	No
1. Late check-out offered	_____	_____
2. If yes, late check-out time	_____	_____
3. Location of baggage checking facilities	_____	_____

H. Determine through the Federal Travel Directory whether the hotel is in a location which exempts Federal employees from occupancy tax. If so, obtain exemption certificates per the directions listed in the Directory and assure that distribution is made to all attendees. (SF-1094, U.S. Tax Exemption Certificate, is not to be used for this purpose.)

I. Determine if the hotel accepts the Government contractor-issued charge card for individual

employee payment of lodging and food expenses.

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IV. Food and Beverages

Advised hotel/meeting facility of:

A. Number of group meals desired _____

B. Types (Breakfast/Lunch/Dinner) of meals desired

Breakfast _____ Lunch _____ Dinner _____

C. Dates of each group meal _____

D. Serving time of each group meal _____

E. Number of guests at each group meal _____

F. Any special arrangements or equipment needs, if private dining room is used _____
(If hotel restaurant is to be used, secure name of restaurant and advise hotel of table arrangement desired and number of guests to be served.)

G. Name of restaurant: _____

H. Table arrangement desired: _____

I. Determine food and beverages to be served at group meals. If necessary, request menu to be mailed so that the meal selection may be taken from it.

J. Advised of meal service desired: _____

Menu requested: _____

K. Coffee break service in meeting rooms, including dates, times of day, number of people to be served and food and beverages to be served. (See Exhibit 305-4A for restrictions against procuring refreshments with public funds.)

V. Ground Transportation

For airlines serving the meeting city, Commerce field offices in that area, or the hotel should be able to provide or secure the phone numbers of the various ground transportation companies in the meeting city.

A. Airport Limo

1. Contact to determine fare: One-Way/Round Trip \$ _____

2. Driving time: _____

3. Schedules: _____

4. Does limo stop at meeting hotel? Yes _____ No _____

a. If No, what is the closest stop to the hotel?

b. Is the stop within walking distance of the hotel?

Yes _____ No _____

c. If no, what is the taxi fare from that point to the hotel and what is the driving time?

Fare: \$ _____ Driving time: _____

B. Taxi Service

Contact to determine:

1. Approximate fare from airport to hotel: \$ _____

2. Driving time from airport to hotel: _____

3. Are group rates offered? Yes _____ No _____
4. If Yes, what is the rate and the minimum number of passengers to qualify? Rate: \$ _____
Minimum no. of passengers: _____

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EXHIBIT 305-4B
HANDBOOK

DOC TRAVEL

C. Charter Bus

Contact to determine:

1. Rate charged: One Way/Round Trip \$ _____
2. Driving time: _____
3. Passenger capacity of bus: _____

If charter bus is reserved, provide pertinent information, including desired pick-up point at destination airport, departure time, and name of person to whom GTR bill should be sent after operation. Also, ask for arrangements to be confirmed in writing.

4. Charter bus: Contracted _____ Booked _____
Written confirmation requested _____

D. Public transportation

Contact to determine:

1. If public transportation operates between airport and hotel: Yes _____ No _____
2. Fare: \$ _____
3. Airport boarding point: _____
4. After reaching "downtown," is a connection required in order to reach the hotel? Yes _____ No _____
5. If Yes, where is connection made and to what mode of transportation? _____

E. Will transportation have to be arranged between hotel and meeting facility? Yes _____ No _____

F. Will hotel provide courtesy shuttle service to the meeting site, airport, or other points? Yes _____ No _____

If Yes, to which points? _____

VI. Miscellaneous

A. Is a meeting registration desk desired? Yes _____ No _____

If Yes, where should it be located? _____

B. Will any packages or other material be shipped directly to the hotel prior to the meeting? Yes _____ No _____

C. If Yes, how should packages be addressed?

D. Should the meeting be announced on the hotel lobby bulletin board? Yes _____ No _____

E. Is a sign for meeting rooms doors desired?

Yes _____ No _____

If Yes, what information should be displayed?

F. Determine from hotel if parking is available to those arriving by car. If available at a nearby garage or parking lot, determine the address of the location and whether the hotel provides pick-up service to and from this facility.

DOC TRAVEL HANDBOOK

EXHIBIT 305-4B

VII. Billing Procedures When a Purchase Order Is Used In order to bill the bureau sponsoring the meeting for some or all of its expenses, a master account must be established with the hotel. This means that an agreement must be reached with the hotel that it will bill, rather than collecting all charges at check-out time. It also means that the hotel must be advised of the items and services to be charged to the master account and that those that are to be charged to the individual attendees.

Name and address of person to whom
master account charges should be sent:

Hotel
Advised

Specific items should be charged to the master account:

Specific items to be paid for by individual attendees at check-out time:

Examples of items normally charged to the master account include lodging, taxes from which the Federal government is not exempt, group meals, conference room charges, and audio/visual rental.

Examples of items normally charged to individual attendees include non-group meals, bar bills, cleaning and pressing, phone calls, and room service.

Chapter 306--Foreign Travel

PART 306-1--AUTHORIZATION OF FOREIGN TRAVEL

306-1.1 Purpose.

This part sets forth general guidelines and administrative requirements relating to foreign travel, and discusses factors to be considered in authorizing or approving foreign travel. Specific authorities and rates pertaining to foreign travel are contained in the preceding parts of these regulations. The requirements in this part are in addition to those generally applicable to all travel.

306-1.2 Authorization.

(a) Authority. Secretarial Officers, Heads of Departmental Offices, and Heads of Operating Units reporting directly to the Secretary are delegated authority to authorize their own single-trip domestic and foreign travel. In addition, these officials are delegated authority to authorize domestic and foreign travel orders of all personnel under their supervision, including Presidential Appointees. This authority may be redelegated provided that:

(1) The redelegation is held to a sufficiently high level "to ensure proper review and control of the travel;

(2) The redelegation is made in writing;

(3) Each bureau or office establishes a central point for review and control of employee attendance at "events" (such as conferences, symposiums, meetings, and negotiations) in foreign locations; and

(4) The bureau or office establishes specific written criteria for controlling attendance at such events. These controls should include critical reviews of justifications for attendance by employees and the clearance at appropriate levels prior to approval.

Requests for premium-class air accommodations require the approval of the Assistant Secretary for Administration.

(b) Approval principles. It is the policy of the Department to authorize foreign travel when it is in the interest of the work of the Department and the expenses to be incurred can be justified in furthering its programs. Foreign travel may also be performed for the benefit of another department, a foreign government, or an international organization, etc.,

subject to such laws and regulation as may apply under the circumstances involved.

Careful administrative consideration should be given to all requests for foreign travel and to the costs involved. Before issuance of each request for such travel, it is the responsibility of the requesting official to exercise prudent judgment as to its necessity, and to be satisfied that the purpose of the travel:

(1) Relates directly to the accomplishments of authorized programs or functions of the Department and, therefore, that the expenses may be properly paid from funds appropriated or otherwise available to the agency; or

(2) Concerns the authorized program or functions of another Federal agency, and that the expenses are chargeable to the funds of that agency; or

(3) Is for the Joint benefit of the Department and some other Federal agency, a foreign country, and international organization, etc., and that such benefit warrants a sharing of expenses by the parties involved.

(c) Review of travel. When foreign travel is determined to be necessary, careful consideration must be given to the following:

(1) A determination of the number of persons necessary to accomplish the mission.

(2) Selection of the most qualified person for the job.

(3) Careful planning of itineraries to eliminate duplicate travel and to assure effective use of manpower and funds.

(4) Selection of the most economical means of transportation.

(5) Senior staff should exert every effort to reduce U.S. based travelers by using the professional and support services of Department staff at or nearest the foreign location to be visited. Careful scrutiny should be given to parties which include support staff and/or professional disciplines otherwise available at overseas locations.

(6) The maximum use of foreign currency.

306-1.3 Clearances Required.

All foreign travel by Presidential appointees (listed in Exhibit 306-1A) must be cleared by the Assistant to the President for National Security Council. This clearance is secured by preparing a memorandum on Office of the Secretary letterhead, for the signature of the Department's Chief of Staff. (See Exhibit 306-1B.) This memorandum should be submitted 21 calendar days prior to the scheduled departure date. The related travel order must accompany the memorandum.

EXHIBIT 306-1A
PRESIDENTIAL APPOINTEES

Secretary of Commerce
Deputy Secretary
General Counsel
Inspector General
Assistant Secretary for Administration
Under Secretary for International Trade
Assistant Secretary for International Economic Policy
Assistant Secretary for Import Administration
Assistant Secretary for Trade Development
Director General, U.S. and Foreign Commercial Service
Under Secretary for Export Administration
Assistant Secretary for Export Enforcement
Under Secretary for Economic Affairs
Director, Bureau of the Census
Assistant Secretary for Economic Development
Under Secretary for Travel and Tourism
Under Secretary for Oceans and Atmosphere, and Administrator
Assistant Secretary for Oceans and Atmosphere, and Deputy
Administrator
Chief Scientist
Commissioned Officers of National Oceanic and Atmospheric
Administration Corps (Flag Officers)
Under Secretary for Technology
Director, National Institute of Standards and Technology
Assistant Secretary for Communications and Information
Assistant Secretary and Commissioner of Patents and Trademarks
Deputy Commissioner of Patents and Trademarks
Assistant Commissioner for Patents
Assistant Commissioner for Trademarks

EXHIBIT 306-1B

MEMORANDUM FOR G. Philip Hughes Executive Secretary National Security Council

FROM: Craig R. Helsing
Chief of Staff

SUBJECT: Request for Presidential Approval of Foreign
Travel

Approval is requested for travel by Thomas J. Collamore, Assistant Secretary for Administration, as indicated below:

Place: Paris, France

Senior Participants: Ambassador John Smith
Senator Alex Long

Objective: To head U.S. Delegation to
OECD Meetings

Itinerary: October 1, 19XX. Depart Wash, D.C.

October 15, 19XX Arrive Wash, D.C.

PART 306-2--FINANCING FOREIGN TRAVEL

306-2.1 Department programs.

If the foreign travel is for carrying out programs of the Department, the payment of salary and traveling expenses may be authorized from the funds appropriated to carry out the activity (5 U.S.C. 511). In such cases, expenses shall be reimbursed in accordance with the DOC Travel Handbook, except that personnel assigned abroad by the Secretary of Commerce under 7 U.S.C. 1762, or other authority, will be authorized allowances and benefits similar to those provided by the Foreign Service Act of 1980 (22 U.S.C. 3901).

306-2.2 Travel for another Federal agency.

If the travel is to be undertaken on behalf of another Federal agency or another bureau or office within the Department, and expenses are incurred directly by the benefiting agency, that agency may authorize the travel subject to its regulations. Otherwise, the performing agency may authorize the travel under its regulations and receive reimbursement from the agency benefiting (31 U.S.C. 686).

306-2.3 Travel financed by funds transferred.

Travel expenses payable from funds transferred, advanced or otherwise made available to the performing agency from appropriations outside the Department are subject to the laws and regulations governing the appropriation of the agency making the transfer or advance. In any case where travel expenses are to be paid on a basis other than as provided by these regulations, the letter of authorization must indicate what laws and regulations apply.

306-2.4 Travel under cooperative agreement.

(a) Travel may be performed which is of benefit both to the Department in carrying out its regular activities and to a foreign government or international organization. A cooperative agreement, exchange of official correspondence, or jointly signed memorandum which outlines the mutuality of interest and benefits should be established setting forth the cost-sharing arrangement including payment of salary, travel and other expenses. Any request from, or proposed arrangement with, a foreign government or international organization should be officially extended and accepted, through appropriate diplomatic or other official channels, before arrangements are completed.

(b) For the protection of the Department and the individual traveler, the Office of Finance and Federal Assistance, Office of the Secretary, should be kept informed in planning the financial arrangements.

(c) Generally, the agreement will provide that each party will handle its own funds and pay its respective expenses. However, if the agreement provides for payment of all or part of salary, traveling or other expenses of employees by a foreign government, arrangements should be made for advance of funds, or furnishing of property or services, in accordance with procedures outlined below (22 U.S.C. 1479). (In the case of international organizations, and semi-official and private bodies, similar arrangements may be negotiated.) Payments, or the furnishing of property or services, from non-Federal sources other than foreign governments must be recorded on Form CD-210, Record of Gifts and Bequests. The procedures in DAO 203-9 must be followed. Payments, or the furnishing of property or services, from foreign governments must be recorded on Form CD-342, Record of Gifts and Declarations from Foreign Governments. The procedures in DAO 202-739 must be followed.

(1) Dollar advances. If feasible, advance of funds in dollars should be arranged through the State Department. Funds so received may be established as a deposit account in the Treasury of the United States, to be available for the specified purpose, and used for reimbursement of appropriations or direct expenditures.

(2) Foreign currency advances. Arrangements may be made through American embassies abroad for deposit of local foreign currency in the account of the Foreign Service disbursing officer at the foreign post of duty for the purpose specified in the underlying agreement. The traveler may withdraw such funds from the disbursing officer in advance of expenditure, or he may be reimbursed in such foreign currency for expenses incurred.

306-2.5 Acceptance by employees of salary or expenses from foreign governments.

Financial arrangements should take into account that, under the Constitution (Art. 1, Sec.9), employees of the United States Government are prohibited from accepting salary directly from a foreign government. Department employees should not accept services in-kind or incidental expenses from a foreign government, unless authorized as indicated above and specifically provided for in the underlying agreement. Please note that the Comptroller General has ruled that the provisions of the Fly America Act are not applicable to air fares financed by foreign governments whether directly or indirectly.

PART 306-3--ADMINISTRATIVE REQUIREMENTS

306-3.1 Administrative Procedures.

(a) Coordinator. Each bureau shall designate an employee, such as the travel contact, to be responsible for assuring that all requirements of this part are met. Each bureau should provide the Office of Finance and Federal Assistance with the name of the foreign travel coordinator and any subsequent changes.

(1) Intra-departmental approvals. Actions should be taken in the bureau in ample time to avoid the necessity for special handling of requests for security assurance, passport forms, medical examinations, and approval for travel plans of high-ranking officials.

(2) Travel authorization. Travel Order, Form CD-29, is required to be issued for foreign travel whether the travel expenses are to be paid from funds available to the Department or from other sources.

(b) Medical examination and clearance. Bureaus have final responsibility for assuring that employees are medically fit for foreign travel. Medical clearance, on a schedule designed by each bureau for official foreign travel, must be obtained as follows:

(1) Travel of more than 90 days or assignment. Agencies must arrange medical examinations through the State Department. (See FPM Supplement 339-31-S1-2c.)

(2) Travel for 90 days or less in high altitude locations. Travelers going to these locations should have a physical examination prior to departure, and every six months as long as they travel to these locations.

(i) Employees in the Washington, D.C. area:

(A) Place of examination. Employees may be examined, by appointment, at the Commerce Health Unit, Room HCHB 6046.

(B) The medical examination. The examination will include an EKG and pulmonary function test.

(C) Bureau's responsibilities. The bureau is responsible for calling the Health Unit (377-4454) and consulting with the head nurse to arrange for an examination.

(ii) Employees outside the Washington, D.C. area:

(A) Bureau's responsibility. The bureau is responsible for making necessary arrangements for examinations and providing the traveler with an SF-78, Civil Service Certificate of Medical Examination.

(B) Place of examination. Employees may be examined at a U.S. Public Health facility, Veterans Administration Hospital, or local public health facility if any of these facilities will provide this service, and if the facility is located within approximately 25 miles of the employee's residence or place of employment. The employee may also be examined by a private physician.

(C) The medical examination. The examination by a private physician should consist of a manual physical, an EKG, blood tests that include a chemistry profile (SMA-12 or SMA-25), a complete blood count (CBC), and a urinalysis. An examination at a public health facility should include an EKG and pulmonary function test, if possible. Otherwise, the examination should be the same as for a private physician. The physician should complete Form SF-78.

(D) Reimbursement. Reimbursement from the agency may be claimed upon submission of a receipted bill for an amount not in excess of \$75 for the physical examination and \$25 for an EKG by a private physician. This claim may be submitted with a travel voucher, or reimbursement can be made from the imprest fund using form SF-1164. The U.S. Public Health or VA facility will be reimbursed according to their fees, if any.

(iii) Submission of medical reports:

(A) All reports will be forwarded to the Commerce Health Unit, Room HCHB 6046, Washington, D.C. 20230.

(B) If there is a medical problem, the examining physician should consult with a physician of the Health Unit.

(C) Reports will be filed in the Health Unit's confidential files.

(iv) List of high altitude locations. For the traveler's benefit, the physician should be notified that a visit to a high altitude location is anticipated. Listed below are commonly visited high altitude locations:

<u>Location</u>	<u>Altitude in Feet</u>
Addis Ababa, Ethiopia	8,300
Asmara, Ethiopia	7,765
Bogota, Columbia	8,630
Guadalajara, Mexico	5,200
Guatemala City, Guatemala	5,000
Johannesburg, South Africa	5,740
Kabul, Afghanistan	5,895
LaPaz, Bolivia	11,910
Medellin, Columbia	5,052
Mexico City, Mexico	7,415
Nairobi, Kenya	5,500
Quito, Ecuador	9,300
San'a, Yemen	7,250

(3) Immunizations. The traveler is responsible for consulting the Health Unit regarding immunizations as soon as a trip is planned. If the necessary immunizations cannot be given in the Health Unit, the bureau shall make necessary arrangements for the inoculations to be given at a public health facility or by a private physician. For permanent assignment abroad, employees can obtain their shots from the Department of State as part of the medical examination.

306-3.2 Travel security assurance.

(a) It is the policy of this Department to require a security assurance for all employees and non-Government persons accredited to this Department who are traveling to a foreign country on official business. The minimum investigation required by the Office of Security for security assurance is a satisfactorily completed National Agency Check (NAC). At a minimum, the NAC will include checks of FBI Name Division and Identification Division records, and a check of the Security Investigations Index of the Office of Personnel Management. The NAC is part of the minimum personnel security and suitability processing required for the appointment of DOC employees. Employees who have not been previously processed, can expedite security assurance processing for foreign travel by voluntarily providing a completed SF-86, Questionnaire for Sensitive Positions, with the Form CD-97, Request for Security Assurance and Official -Passport Clearance for Foreign Travel. Employees may determine their security/suitability processing status by contacting their servicing security office.

(b) The designated official or administrative officer within the Operating Unit will request a security assurance on Form CD-97 for each individual traveling for the Department:

(1) for the duration of each instance of official foreign travel, including travel to Canada and Mexico;

(2) for the duration of each assignment to a foreign tour of duty (for the purpose of the security requirement, a tour of duty will be any foreign travel lasting 90 days or more);

(3) when a passport or renewal of a passport is required.

The CD-97 (see Exhibit 306-3A) must be filled out completely, and if applicable, a copy of the CD-29, Travel Order, should accompany the CD-97. The Block entitled "Bureau or Office" must include the Administrative Support Center designation, if appropriate. The traveler's Social Security number must be included in Section I, Block I on the form. In addition, Block [Note: Number missing from original document] of Section III on the form, which deals with access to classified information, must be marked or the form will be returned. It should be noted that any traveler who wishes to carry classified information during foreign travel must first receive written permission from the Director, Office of Security (see paragraph 605 of the National Security Information Manual). Such authority is granted under limited circumstances.

(c) Travel office processing for an initial passport or passport renewal may be pursued concurrently with security clearance processing. However, a passport, or renewed passport, may not be released to the individual until his or her security assurance processing has been completed.

(d) A blanket travel assurance may be granted by the Director, Office of Security, to cover an employee's frequent travel to a certain country or group of geographically related countries. A blanket travel assurance will be valid for one year from the date granted. In order to obtain a blanket travel assurance, the responsible official or administrative officer must forward with the CD-97 a memorandum to the Director, Office of Security, which sets forth the country or countries involved, the expected frequency of travel, and the employee's duties which require frequent or spontaneous foreign travel. Travel to Communist Bloc and certain other designated countries will not be considered for blanket travel assurance. Foreign travel not specifically covered by a blanket travel assurance must be processed under Item 2 above.

(e) The operating unit must submit to the Office of Security the names of non-employees proposed for foreign travel no later than 60 days before the anticipated day of departure, in order to allow sufficient time for the necessary checks to be completed and an evaluation to be made of the results. Along with the CD-97, the designated official or administrative officer must

submit the following additional forms (copies attached) for each proposed traveler not employed by the Department:

- (1) Standard Form 85, Data for Non-Sensitive or Noncritical-Sensitive Position (2 copies)
- (2) Fingerprint Card, Form FD-258 or SF-87 (1 copy)
- (3) Office of Personnel Management (OPM) Form 1474, Agency Request for Reimbursable OPM Personnel Investigation

Block 1A must contain the following address:

Department of Commerce
Office of Security
Room H5044
14th & Constitution Ave., N.W.
Washington, D.C. 20230

Block 2 should be marked to request an NAC.

Block 3 should be marked so that the case is mailed to address in Block 1A.

Block 4C must be marked CONTRACTOR.

Block 7 must contain the following comment in large letters: "Hot Track."

In lieu of submitting the forms above, the proposed non-employee traveler may, on a voluntary basis, submit a completed SF-86 with the CD-97. This option enables OSY to conduct the NAC and will expedite security assurance processing.

The above listed forms are available from the Department Office of Security, Bureau Security Officer, Administrative Support Center Security Officer, or servicing personnel offices.

(f) If travel is performed on behalf of the Agency for International Development (AID) under P.L. 87-195, copy 2 of CD-97 and any other information required by AID will be submitted to the Office of Personnel Administration, AID, for endorsement in Section II. Upon the return of the endorsed copy, the administrative officer will record the endorsement on the other copies. All copies of the CD-97 will then be submitted to the Departmental Office of Security.

(g) After receipt of copies 1 through 7 of the CD-97 approved by the Office of Security, or if Departmental security clearance

is not required, the administrative officer will forward copies 2 through 5 to the traveler to be submitted with his/her passport application. If the traveler has a current Official Passport, this fact will be noted on the CD-97 and copies 2 through 5 will be forwarded to a designated point(s) within each Bureau. Copy 1 will be retained for record purposes and extra copies will be destroyed.

306-3.3 Conduct.

(a) The conduct of travelers on official foreign travel will be subject to the rules, regulations and guidelines established by the Embassy or Foreign Service post (DAO 202-301). Employees traveling abroad should contact their security officer to obtain a copy of the Office of Security's pamphlet entitled "Security Awareness: Counterterrorism."

(b) All employees traveling to a Communist Bloc or other designated country are required to have undergone a defensive travel security briefing within the most recent 3 years prior to departure. The briefings are given by the Office of Security, Room H5044, and can be scheduled in advance on (8) 377-3131.

(c) All employees returning from a tour of duty (90 days or more) from a Communist Bloc, or other designated country, shall undergo a security debriefing upon their return to the United States. A debriefing can be scheduled by contacting the Office of Security, Room H5044, on (8) 377-3131. Written travel briefings are available from servicing security offices.

(d) The following are currently designated countries (those countries whose policies are inimical to U.S. interests): Iran, Afghanistan, Angola, Ethiopia, Iraq, Nicaragua, South Yemen, Syria, Libya, Albania, Bulgaria, Kampuchea (formerly Cambodia), People's Republic of China (including Tibet), Cuba, Czechoslovakia, North Korea, German Democratic Republic (GDR) (East Germany, including the Soviet Sector of Berlin), Hungary, Laos, Mongolian People's Republic (Outer Mongolia), Poland, Rumania, Union of Soviet Socialist Republics (USSR) (including Estonia, Latvia, Lithuania, and all the other constituent republics, Kurile Islands and South Sakhalin (Karafuto)), Vietnam, and Yugoslavia.

306-3.4 Passports.

All employees who are U.S. citizens traveling to a foreign country on official business for the Department must obtain official passports and, when required, official visas before departing from the United States. Few countries require no visas

3.4(a)

for business or pleasure. Tourist cards and tourist visas may not be used when travel is for official business.

(a) Employees in the Washington Metropolitan Area. Passport and visa applications can be processed by a travel office which services your bureau. (They can also assist in travel arrangements, per diem rates, voucher preparation, etc.)

(1) Before the passport can be processed, the travel office must receive the following:

(i) Passport Application (Form DSP-11). Completed, but signed only in the presence of a Passport Agent. (See Exhibit 306.3B.)

(ii) Two passport size photographs. Must be in color, 2" x 2", taken on Polaroid equipment and within six months of application.

(iii) Request for Security Assurance and Official Passport Clearance for Foreign Travel (Form CD-97). This form must be completed and approved by Office of Security before Passport Application processing can begin. (See Exhibit 306-3A.)

(iv) Proof of citizenship. There are only 3 forms of proof of citizenship.

(A) A valid or expired passport.

(B) A certified (raised or colored seal) Birth Certificate. A form for obtaining a certified birth certificate may be available in the travel office. (See Exhibit 306-3C.)

(C) Naturalization certificate.

(v) Release form. Must be completed and signed to give the Passport Office the authority to accept the information contained in the application and other forms. The form is available in the travel office.

(2) Once the above items are properly completed and received by the travel office, they will be forwarded to the State Department. The official passport should be returned to the travel office within two weeks.

(b) Employees outside the Washington, D.C. area. Employees may obtain Official Passports through an agent of a passport office or a clerk of a Federal or State court having naturalization jurisdiction. Post offices in certain locations are also authorized to accept applications. Employees must bring

two passport photos and proof of citizenship (see section above on requirements for employees in Washington, D.C. area). There the employee will complete a DSP-11 and sign it in the presence of a Passport Agent. A DSP-82 may be used if appropriate.

(c) Employees who have passports on file in the travel office. Employees must notify the travel office that maintains their passport at the earliest practical date so that any necessary visas can be obtained and the passport returned to the traveler before departure.

(d) Retention of passports. Each bureau must publish its own regulations regarding retention of passports, as a supplement to this manual.

306-3.4 Use of American commercial carriers. Any employee traveling or transporting personal effects by ship or airplane on official business outside the continental United States shall do so via commercial carriers registered under the laws of the United States as required under the International Air Transportation Fair Competitive Practices Act of 1974 and the Merchant Marine Act of 1936. (See FTR 301-3.6 for guidelines on the use of American commercial carriers.)

306-3.5 Scheduling appointments.

(a) Appointments with foreign country officials will be arranged in a timely manner through the Embassy or Foreign Service post. Other appointments will be arranged through persons associated with the assignment at the Foreign Service post, when possible, or through Embassy officials.

(b) After issuance or clearance of the Official Passport, the State Department will inform the Foreign Service Post(s) to be visited of the name and title of the traveler, countries to be visited, purposes of travel, and departure date from the U.S.

PART 306-4--FOREIGN SUBSISTENCE

306-4.1 Per Diem.

(a) Prescribed per diem rates. Per diem rates for travel in Alaska, Hawaii, the Canal Zone, Puerto Rico, and insular possessions of the United States will not exceed those rates prescribed by the Secretary of Defense and published in Civilian Personnel Per Diem Bulletins. Per diem rates for travel in foreign countries will be authorized at a rate not in excess of those prescribed by the Secretary of State and published in the Standardized Regulations (Government Civilians, Foreign Areas). The rates should be filed following Chapter 306. The specific amount per calendar day authorized for a specific assignment within these maximums will be stated on the travel order. However, due to periodic rate changes, the maximum rate stated on the travel order may no longer be in effect at the time of travel. In such cases, the Department of State or Department of travel. In such cases, the Department of Defense rate(s) in effect during the period of travel will be payable on the travel voucher unless a specific rate for unusual circumstances was originally authorized.

(b) Guidelines on rates for travel outside the continental United States. (See FTR 301-7.6.)

- (1) The applicable per diem rate is determined by the traveler's location or status at the beginning of the quarter day.
- (2) Enroute less than 6 hours--destination rate
- (3) Enroute 6 hours or more--\$6.00 per day (\$1.50 per quarter-day)
- (4) Stopover 6 hours or more--locality rate
- (5) Same day return--origin rate
- (6) Enroute travel time is based on actual elapsed travel time. Enroute rate applies to travel by airplane, train, or boat only.

(c) Deductions for meals and/or lodgings furnished. If quarters and/or meals are furnished at a nominal charge by a Government owned or operated establishment in the area of the temporary duty station, appropriate percentage deductions will be made from the per diem allowances for each meal and/or quarters furnished as follows:

Breakfast	Lunch	Dinner	Lodgings
10%	15%	20%	55%

(or daily maximum 85%)

The net per diem claimed, then, will be increased by the nominal charge paid for use of such facilities.

If quarters and meals are furnished at no cost, the traveler is entitled to 15% of the applicable per diem rate for the locality involved, to cover miscellaneous expenses while at the temporary duty station. The percentage deductions also apply when travel expenses are accepted from outside sources.

(d) Extended stays. For travel assignments involving temporary duty for periods in excess of 30 days and travelers are able to secure lodging and meals at lower cost, the per diem rate shall be adjusted downward on a case-by-case basis.

(d) Miscellaneous expenses. The following allowances may be authorized or approved, when appropriate:

(1) Commissions for conversion of currency in foreign countries. (However, losses incurred due to changes in currency exchange rates are not reimbursable.)

(2) Exchange fees for cashing United States Government checks or drafts issued in reimbursement of expenses incurred for travel in foreign countries.

(3) Fees connected with the issuance of passports and visas, i.e., costs of passport photos, certificates of birth, health, identity, and affidavits; and charges for inoculations not obtainable through a Federal dispensary.

306-4.2 Actual Subsistence.

Actual subsistence expenses in lieu of per diem, when appropriate, may be authorized in accordance with FTR 301-8.3(b).